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ABSTRACT

The 56 papers in this proceedings are divided into three groups--theme, alternative format, and contributed papers. Myths and realities are explored in the first group as they relate to university, college, community, and junior college libraries, and to private sector information utilities. The conference wrap-up session is included in this section. Alternative format papers address the topics of automation in community college libraries, archival management and library networks, public service realities, and public services in research libraries. The 47 contributed papers are presented in 6 sections: academic librarianship, automation/bibliographic control, bibliographic instruction, collection management, general administration, and public services. Specific topics addressed include professional development and values; dual job assignments; transborder data flow; PRECIS; use of the full MARC record; variant subject headings; financial management of online public catalogs; accountability; preservation techniques; cooperative acquisitions; weeding; federal depository program; aging monographs; fiscal problems and an empirical model of library acquisitions; electronic security systems; continuing education; needs of off campus students; academic library budgets; the social science librarian as reader's advisor; free bibliographic database services; differentiated staffing; and circulation of microcomputer software. Also included are lists of contributors, members of the conference planning committee and the Association of College and Research Libraries Board of Directors, and readers of contributed papers. A brief preface and a subject index are provided. (THC)

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ACADEMIC LIBRARIES: MYTHS AND REALITIES

Proceedings of the Third National Conference of the
Association of College and Research Libraries

April 4-7, 1984
Seattle, Washington

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ACADEMIC LIBRARIES: MYTHS AND REALITIES

Proceedings of the Third National Conference of the Association of College and Research Libraries

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PREFACE

Compiling a volume of proceedings is a more exciting undertaking than one might think. While its eventual existence is never in doubt, and although its production is planned long in advance, its content is unknown until a few months before the proceedings appears. Determined (as it largely is) by the nature of the contributed papers, the overall direction of the volume cannot be known until those papers have been chosen. In the case of this volume, its character is a blend of both the Theme and the Alternative Format papers, and the Contributed papers selected from those submitted for adjudication. The Conference Committee is responsible for the nature of the Theme and Alternative Format papers. The Contributed papers represent, in the opinion of the one hundred and eighteen reviewers, the forty-seven best papers received in that category.

A volume compiled in this way will undoubtedly please some people more than it will others. To those who find a dearth of material in their favourite area of interest, we can only say that the nature of this book is a reflection of what we received. We issued a call for papers which, beyond stipulating that they bear some relevance to the Conference theme - Academic Libraries: Myths and Realities - imposed no subject limitations. Authors and reviewers remained strictly unknown to one another when it came to judging the Contributed papers. No one involved knew the identity of the authors until the final selection was complete, and the authors were never given the names of those who read their papers. Indeed, only those who reviewed papers which were subsequently chosen for presentation will now know whose work they read.

One of our requirements was that a paper be suitable for oral presentation, and many we received were thought by the reviewers not to be suitable. If in other respects the readers liked a paper, we suggested that the author consider submitting it for publication elsewhere. Our grateful thanks are due to the authors who submitted one hundred sixty six papers for review, and to all those who read and evaluated them with such care.

It is impossible to know in advance just how many papers will be produced, or what subjects those papers will cover. We attempted to guess (based on the notices of intent to submit a paper which we initially received) and we recruited reviewers accordingly. Every paper was read by at least two people familiar with the topic. As we expected, most of the papers arrived just before the deadline, but within a week of that date we had almost all of them on their way to the reviewers. We also had some speedy recruiting to do when our supply of readers in particular subject areas ran out. The Conference Committee relied heavily on the perspicacity of the members of the review panel. Credit for the selection you see here belongs to the panel.

We have grouped the papers into three sections: Theme, Alternative Format, and Contributed. The former two are arranged in order of their presentation; the latter are grouped under six broad subject headings: Academic Librarianship, Automation/Bibliographic Control, Bibliographic Instruction, Collection Management, General Administration, and Public Services. We know that some papers do not fit as neatly into these categories as we could wish, but in general the classifications are valid.

The subject index is composed of keywords and phrases submitted (in most cases) by the authors. Where an author neglected to provide keywords we have attempted to fill the gap. Index page numbers refer to the beginning page of a paper or panel.

One editorial duty which we have deliberately omitted is that of checking all papers and references for error and accuracy. Because we required our authors to submit camera-ready copy, according to our detailed instructions, they knew that any errors in that copy would be theirs. On the other hand, we can claim no credit if we have, as we hope, produced a virtually error-free volume. The glory must go to all those diligent (and highly motivated!) proofreaders.

We wish to acknowledge the support of our institutions and the secretarial assistance of Peggy Stevens, Kris Werdal, Steve Hammer and Kelly Nash. The preface would not be complete without an expression of gratitude to our fellow Conference Committee members. Although we each had individual responsibilities we also worked very closely as a team, meeting at least monthly for over a year and half. We did all the planning as a group, and there was no aspect of the work to which we did not individually contribute in some form. For us, then, the single greatest reward must be the cameraderie which we came so much to enjoy, and which we will always treasure.

In balance, we have received immense pleasure from the work which culminates in this volume. We hope that you, in turn, will find the contents instructive and worthwhile. Would we do it all again? Of course - but not for a while.

Suzanne C. Dodson
Gary L. Menges

July 1984

Part I:

THEME PAPERS

MYTHS AND REALITIES: UNIVERSITY LIBRARIES

D. Kaye Gapen
University of Alabama Library, University, Alabama

INTRODUCTION:

We are going to talk today about some myths and realities surrounding the present and future of academic libraries. In doing so, we will be considering technology, the paradox of imaging of the future, change, models for dealing with change, and personal and organizational characteristics which can help us decipher and deal with both the myths and the realities.

To set the stage, let me tell you a little story. I've been in Alabama now two and a half years, and during the course of this presentation you'll probably hear a little Alabamaisms come in, but this story was very popular a couple of months ago when we were getting a lot of rain in the south, and it may have even gotten some national press, I don't know, but if you've heard it you can hear it again. In Louisiana, the rivers were flooding. And a man was in his house and the water was coming up to the door, and a rowboat came up. And they said, "we'd like to rescue you, get into the boat." And the man said, "No, I trust in the Lord, I'm going to stay here." So the water kept rising, and the rowboat came back again and the man was on the second floor of his house, and they said, "Get in the rowboat, we'd like to save you!" And he said, "No, I trust in the Lord, I'm going to stay with my house." (The deep south is in the Bible Belt, you know.) And so they came one more time, and the water was up to the roof, and the man was on the roof sitting there clinging to his chimney. And a helicopter came and they said, "Sir, sir, come into the helicopter, we want to save you!" And he said, "No thank you, I trust in the Lord, I'm going to stay here!" Well, sure enough, he drowned. The water came right up over the top of the house, carried him away and he drowned. He went up to Heaven, and he went up to St. Peter, and he said, "Look, I want to know just what's going on here. I trusted in the Lord and I drowned." And Peter said, "Well, we sent you two rowboats and a helicopter." I'm sending rowboats and a helicopter today. So let's just take some of these comments in that vein, and know that we can trust in the Lord, we can test the myths and the realities, but there's some things that we can do, too, to affect our own futures. Of course, this story tells us it is very important to know when to trust in the Lord and when to take the salvation that is offered.

Let me share a quote with you that is a little lengthy, but nevertheless important. "There is no need to expect that with the application of knowledge and skill things should always turn out right." [This sentence does remind me of my roommate in College who was a Teaching Assistant teaching Freshman English for two years. She had a plaque in the kitchen which read "You can be sincere and still be stupid."] "Instead there is a growing recognition that it is necessary and responsible to arrange all human and organization resources so that they are future-responsive, so that they act in the present out of a concern for the future, i.e., the task is to enlarge our awareness of what is happening and what might happen. This means becoming learners as persons and organizations. It means learning how to become learners, and to be learners we must become embracers of error.

"The competent person is one who designs his or her activities to provide the maximum amount of feedback about what is happening in order to detect and respond to errors. Competence, then, is measured not by skill in avoiding errors, but by skill in detecting them and in acting on that information openly so that all can continue to learn about where they are and where they might go--about what kind of world we have created for ourselves and what we might do toward recreating it. It follows that an equally central criterion of competence is the ability to facilitate learning, error embracing, and awareness of one's self and others."

This statement comes from a book called Failures in Organization Development and Change, edited by Philip H. Mirvis and David Berg. Our last 15 years have been an extraordinary learning experience in which we have had ample opportunity to facilitate learning and embrace error.

If we look back to the middle or late 60's and the early 70's, we see the implementation and development of the MARC format. The MARC format is a machine readable, bibliographic format that we use now to transmit databases and to store them. It's the basis of how our records are numerically described and communicated. It's our primary communications format. The presence and refinement of that format allowed us to develop the large online utilities that we see today: OCLC, RLIN, WLN, and so forth. And this, in turn, was paralleled by an increasing amount of cooperation and networking. It also has served as a basic communications and bibliographic format for our own online systems. We see increasingly in libraries today either the implementation of online systems or some consideration and planning being given to the implementation of online systems in libraries which will be for us online catalogs, online circulation systems, online serials control module, and online acquisitions. And, again, for states such as Alabama, more local networks and agreements.

In addition to local online library systems we have also seen the growth and expansion of

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online database searching for reference services--both indices and contents. We've see interlibrary loan through the national bibliographic systems and now through some of the other regional and state cooperatives, Alabama's multi-type models. We've seen growth, more recently, in video and audio-video technology which can allow images to be transmitted digitally the same way in which our communications records for bibliographic information are transmitted. And, of course, one of the major changes that affected libraries directly has been the implementation of AACR II, a cataloging format that was developed and designed clearly to integrate more effectively cataloging in a computer environment. It is likely that we will see continuing changes in our cataloging and subject classification standards in order for us to be responsive to what we are learning about the online environment and user patterns.

We have seen, therefore, some very significant changes, and we've seen the rate of change accelerating a little bit every year. In our organizations, we've seen changes in the job skills that are required for people who are presently working in libraries and people who are coming into libraries; we've seen the level of responsibilities change, particularly in the support staff positions. We have increased responsibility, we have changed job descriptions, upgraded positions, and paid for those upgraded positions primarily by cutting out lower level clerical staff positions. And so what we often have in many academic libraries is fewer people, but at a higher level of responsibility. The nature of work that is expected of the professional librarian has changed too, moving toward management, planning, and the more difficult cataloging and reference tasks.

We've also seen some changing organizational patterns and I believe that we will see more of that. We have seen responsibilities combined with people moving from specialist to generalist in many instances. We have seen changing regional and cooperative patterns and, increasingly, in the last five years the growth of economic and legal concerns related to networking and cooperative development.

We know from our experience what change is and how we feel as we face change, act it out, and are acted upon by it. I thought it would be useful, however, if we had a more formal definition. This one comes from Gordon L. Lippitt in a book called Visualizing Change: Model Building and the Change Process. "Change is any planned or unplanned alteration of the status quo in an organism, situation or process; and planned change is an intended, designed, or purposive attempt by an individual, group, organization, or larger social system to influence directly the status quo of itself, another organism, or a situation." Organizational change is "any planned or unplanned alteration of the status quo which affects the structure, technology and human resources of the total organization." Today we are going to try to answer the question of what we will do with change in academic libraries and how much of it is myth and how much reality. Based upon my experience as a library director over the past three years, I believe that in the future, it will be the individuals, the groups and the organizations which, by manipulating their physical and social environments, by contributing to planned change, by coping with obstacles and persisting toward their goals will tip the scale toward continuing the viability of librarianship, and, indeed, the betterment of humankind. Those who are less adventuresome will be easily sidetracked or defeated by obstacles, and become victims of change.

In the presentation today, first, we will look at the future and decide whether or not we can separate the myths from the realities. Second, we will ask ourselves the questions posited by Mary Parker Follett's "Law of the Situation" in order to do a little reality testing. Third, we will talk about whether or not there are "models" of change which might be of use to us in working through ever constant change. Finally, we will examine some of the beginning strategies for implementing planned change.

THE FUTURE: MYTHS AND REALITIES:

Let us begin by looking at the future. The following statement is made in the Failures in Organization book I already mentioned: "The secondary and tertiary consequences of the interactions of technology with the rest of society make predictions of the impact of all externalities impossible . . . We are unable to control the processes of change, and we are unable to predict the consequences of our efforts to control them."

On the other hand, we have the story of the 90-year-old couple who went to a lawyer to see about getting a divorce. The lawyer was surprised and asked what such an old couple was doing getting a divorce? The couple replied, "We have been having trouble for a number of years, but we wanted to wait until the children died."

We are faced with the very real paradox that when the future occurs it will be real, but today the future is a myth. At the same time that we know we cannot predict what is going to happen, we feel that we can wait too long in not dealing and all of our ideals and hopes can die before we act. In our daily lives then, we try to do both. So later I will discuss how models of change can help us meet the future since we cannot predict its reality, I will still share with you an exercise in selecting among the various myths. We will try to "image the future".

I've had four opportunities in the last year to do some forecasting - some looking at the futures in librarianship. The first one occurred last summer at UCLA where I went for a six week program to the Library School. With eleven other librarians we had an opportunity to do some research and talk about some of the basic problems that we saw in libraries today and some of the challenges. I am going to share some of that with you regarding possible courses of action in libraries. The second opportunity I had was an evaluation meeting of the Bibliographic Services Development Program (BSDP) which was funded by the Council on Library Resources. The evaluation of the BSDP program which is occurring in this year is designed to assess what has happened to date in bibliographic control and networking and to establish priorities for the next two years. The third opportunity was with an ad hoc of OCLC ARL librarians coming together to make a beginning attempt at formulating the most important thing for research libraries in terms of OCLC development. And, finally, we will quickly review some of the strategic planning that OCLC is doing, looking ahead into the future.

I want to share with you, first, a generalized look at the future that is broader than the library-specific world, but brings in many elements that I think we will find common to our own experience and that parallels much of what the futures of libraries might contain. I am reading, in the course of working on this models for change idea, a book called Megatrends, which is both interesting and popular. The author, John Naisbett, talks about major trends in the world today.

The first major trend is that we are moving, and indeed, have moved, from an industrial society to an information society. We have a waning economy based on the industrial society but we have a very quickly developing economy based on information.

The second major trend is that we are moving from forced technological change to the infusion of high technology which is combined with high touch. And I will come back and tell you what he means by high touch in a moment. Third, we are moving from national economies to world economies. Fourth, we are moving from the concept of centralization to the concept of decentralization, with these trends existing not only politically, but in our corporate business world, our religious structures and our social institutions. Fifth, we are moving away from the concept of institutional help to the concept of self-help. Sixth, we are moving from a representative democracy to a participatory democracy. Seventh, we are moving from the concept of hierarchies to the concept of networking. Eighth, we are moving from the north to the south (and we in Alabama would welcome any high tech rich industries that wanted to come to the south from the decrepit, cold north). And, finallly, we are moving from the either/or situation, to multiple options in terms of what we can do as people and what we can do as corporations.

Now here are some of the specific points that Mr. Naisbett made: we can think of examples throughout which would carry these concepts into libraries.

The new wealth is know-how. We are in a transition between economies and entrepeneurship is booming. The growth of small businesses is also booming. The information society is an economic reality. We are having an innovation in communications and computer technology which will accelerate the rate of change by collapsing the information flow. The information flow is how long it takes somebody to find out something. Today, you can know five minutes after something's happened on the other side of the world that it has occurred. And that's having an enormous impact on communications and accelerating the rate of change.

New information technologies will first be applied to old industrial tasks, then will gradually give birth to new activities, processes and products. In Libraries, we've seen the new technology applied to old bibliographic tasks, but now we're going to see emerging databases and approaches to access that we haven't really envisioned before. In this literacy intensive society when we need basic reading and writing skills more than ever before, the education system is turning out an increasingly inferior product.

The technology of new information is not absolute. It will succeed or fail according to the principle of high-tech/high-touch. High-touch is the fact that we like being together with other people. We do not like just dealing with machines. So as we ever increasingly rely on high technology, at the same time we ask people to play a greater role in what we are doing. We are drowning in information, but we are starved for knowledge. We have so much information floating around that people don't know what to do with it.

We are moving from the specialist who is obsolete to the generalist who can adapt. We must learn to balance the material wonders of technology with the spiritual demands of our human nature. Again, we need to be together as people. Strategic planning is going to become an increasingly important tool but strategic planning is worthless unless there is first strategic vision. We are building from the bottom up. People whose lives are affected by a decision must be part of the process of arriving at that decision in politics and in

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corporations. Change occurs when there is a confluence of both change in values and economic necessity not before. Hierarchies remain, but our belief in their efficacy does not. More and more we are thinking that the hierarchical organizational patterns of the industrial age are not appropriate to the things that we are doing today. Networks are people talking to each other, sharing information, ideas and resources and the important thing is not the networking but the process of getting there. [Many of the points that are made in this Megatrends book are made also in another new book called In Search of Excellence, which also talks about the same thing--major corporations which have continued to demonstrate excellence because they had a different set of values and a different set of operations than we have seen in the past industrial, hierarchical age.] We will restructure our businesses into smaller and smaller more entrepenurial, more participatory units.

The conclusion of Megatrends is "that the computer will smash the pyramid. We created the hierarchical, pyramidal, managerial system because we needed it to keep up with people and the things people did. With the computer to keep track we can restructure our institutions horizontially."

Now that we have set the larger stage, what are the results of some of the other groups which I mentioned? We will start with UCLA. The Management Change subgroup arrived at four principles that we felt were going to be important. First, organizations in the future have to be fundamentally flexible, they have to be scientifically skilled, they have to be actively proactive, and they have to be profoundly people-oriented. After exploring some basic principles, we next talked about steps that had to be taken in the next five years in terms of the library's major administrative functions. I'm not going to tell you all of the things that we had forecasted in any of the major functions but, instead, will share selected parts with you. Under plant, we would undertake in the next five to ten years a strategic review of plant utilization and remodeling. We would remodel facilities as required for the maximum utilization of technology. Under staff resources, we will reorient all staff at all levels with the changing natures of libraries and information networks. We will develop programs for the regular, periodic reassessment of librarians. We will enlarge the responsibilities of librarians with much more outreach. We will increase the educational requirements for librarians. We will increase the proportion of the support staff at the upper levels, which means we will probably continue the trend of fewer people, but with higher classification of job responsibilities. We will make staff at all levels computer-literate, we will increase the use of part-time and work-at-home personnel at the lower levels. We will strengthen the collegial nature of library faculty. We will expand and strengthen staff development programs. We will undertake periodic full review of all library positions and classifications. Under budget, we will establish a new budget criteria category for access costs; that is, we now, most of us, charge people for online searches, at least for the cost of the search if not for the cost of the staff support. We think the likely trend will be that library budgets will be allocated to pay all costs and that allocation will occur through discontinuing some of the paper subscriptions and substituting full online access that the library will pay for. We will develop ongoing outside support for traditional library collections. We will develop a balance sheet and other accounting instruments for library and campus information resources. We will work the cost-data into campus information policy. We will obtain approval for ongoing programs for amortization of library equipment.

Under information resources, we will install marketing programs for online text acquisition and electronic journals supplied through the library. As faculty members and students have greater opportunity to go directly to the information databases outside of what has been traditionally found in the library in its books and journals, we want the library to be a part of that chain. We will increase expenditures for access services and for non-book materials. We will begin and expand the telefacsimile and its offspring. We will provide for more precise responsive subject specialization. We will revise collection development policies in light of changes. We will utilize optical video discs for building collections and for preservations, probably phasing out the purchasing of microforms as other formats are substituted.

Under services, we will phase in no charge database services for our primary clientele. We will inaugerate a campus document delivery service that can provide both physical documents and telefacsimile transmission. We will provide 24 hour a day physical access to resources and selected services of the library. We will provide remote online access to resources and services. We will investigate and add other and/or new information services. We will insure library participation in planning and installation of local area networks on campuses. We will incorporate the "special library model" in planning and evaluating library services. Basically, the special library model is a phrase for what special libraries are able to do in working with specialized clientele in knowing their interests and your resources so that you provide the information rather than the access to the bibliographic description.

Under organization, we anticipate that we will loosen the library organizational structure. We will increase the acceptance by the library director and staff of uncertainty and risk. We will increase in awareness of the importance of mentoring. We will expedite decision making at the lowest possible levels.

Now let me move on to the BSDP Review meeting. We thought that BSDP should address, first, Networking at the national level, so that we have some way of establishing the computer links for our separate databases. That means not only can OCLC's computer talk to the Library of Congress, but that Dickinson's computer can talk to the OCLC computer or to the Library of Congress. Through those technical links we would have access to resources that we now can only really dream about. That is one of the first BSDP priorities.

The second is that librarians through their own work and the work of leadership groups such as the Library of Congress and the Council on Library Resources, would begin to develop quickly models of the electronic campus that include the integral role of the library in information transfer. The electronic campus, or wired campus, is not as good a descriptive label as we need. What this means is that as campuses face the need to communicate information more effectively, we are going to establish cable networks from office to office to classroom. Those cable networks, which are now called local area networks, will also be part of telephone systems so that people in the classroom can go to the library computer, or can go outside to other computers. Those LAN's will transmit, not only word processing information among all parts of the campus, but a more effective electronic mail delivery service. We will see an increase in communications, but a decrease in the amount of paper that goes back and forth. Eventually there will also be broad band networks which will allow us to transmit video images in addition. That means that our online catalogs will also have a component in which we will store both our bibliographic information, our catalog records, and the content of our collections and catalogs on video discs. When that occurs, people in their offices can access the images on that videodisc in their office or in the classroom. Libraries have been ahead of the game in terms of some of these high tech developments and we can build on that and grow if we are proactive and will play such a role.

The Ad Hoc OCLC ARL librarians who got together arrived at similar priorities--national networking and the ability to make th[illegible]rary be part of a local area network on the campus.

And, finally, OCLC has been working on strategic planning for a number of years including what they are thinking about for the future. I would like to share a few of these areas with you:

1. Viewdata (or videotext)
2. Telecommunications Networks
3. Electronic Mail
4. Facsimile Transmission

The implications of this imaging are, of course, many. In considering further which might be myth and which reality, I would like us to consider an excellent question described in Megatrends. Mary Parker Follett was a business consultant in the early 1900's. She proposed a law called the Law of the Situation. In applying the law of the situation, you ask yourself what your business really is. When a situation changes, you do one of two things: you reconceptualize what business you are in, or, you conceptualize what business it would be useful for you to think you should be in. To repeat, you reconceptualize what business you're in or you think about what business you think you should be in. When change is constant, this reconceptualization also has to be constant.

And if we look at what we have done in libraries up to this point in time and what our image is of the future, I would put to you that we have been in the package delivery system. We have stored and delivered books and all that we have done has been based on this package delivery system. Application of the Law of the Situation tells us that the next level of business for us is the information delivery business. And that means that that we will do some things very differently than if we are in the package delivery business. We are beginning to be in transition from one to the other. And there's room for great entrepenurialiship if we will choose to make use of it.

When I made this point at a meeting not long ago in Pennsylvania, Joan Bechtal from Dickinson College said that even more important than information delivery may be the fact that we are in the "conversation" business--facilitating scholarly and other conversation.

So we have the future and all it might hold. We know from our experience thus far that the implementation of technology and other changes sometimes result in very real personal, personnel, and organizational concerns and problems. At Alabama over the past 3 years we have been going through a number of significant changes, partly in order to try to "meet the future", and partly to address the present. We want to do the latter in the context of the former. I knew that there had to be techniques for structuring and facilitating change, but we were all so busy killing the snakes that we didn't have time to plow the field.

One of the things that we were supposed to do in the work at UCLA was some sort of research. I decided that the six weeks I was spending at

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UCLA, I wanted to see if there was not some way that we could address more effectively the changes that we were implementing in our libraries. The major point to consider here is that while the future is a combination of myth and reality which can only be directly addressed as it arrives, we can practice a very substantial reality in developing ourselves and our organizations in order to be future-responsive, "so they act in the present out of a concern for the future." So that we can become learners and embracers of error. I want to share with you the work that I did on models of change realizing that its much harder to do it than to talk about it.

If we look at change and models of change we see a wealth of literature in the social sciences. Building a "model" of an activity or happening is useful in that it provides us with a conceptual framework for thinking about some complex interrelationships. A model defines. It has to be symbolic representation of a lots of layers of complex activity. A model of change has to be able to detect multiple causation with the forces that are involved and the complexities that exist. A dynamic model of change must indicate the forces influencing the situation over a period of time and it has to have feedback loops.

A change model will be goal oriented, and the results of the application could and should be evaluated. The function of the model is heuristic in the sense that it has to be adapted by experience during the course of its applications. In this way, the model can grow as your own experience grows.

I am going to share with you some of the models I uncovered this past summer including a very interesting organizational model and list some of the individual-oriented personnel models. The purpose of each of these models is to describe and guide the dynamics of change for both people and organizations. With a set of these models in place it is possible to be future-responsive, proactive learners in getting through change. We can organize ourselves so that we can respond to change no matter what that change is. And this is the essential reality. We can review past decisions, in order to enlarge our current options by asking the proper questions. We can analyze our past errors in order to provide for plans and contingency plans for what we will do in the future. And finally, we can emphasize looking ahead and not looking back. We do not have to be content with monitoring our environments, rather we will search them through long-range planning and through internal and external feedback processes. We will be more likely to know who likes whom, how, and why; what emotions are likely to be felt depending upon the hat being worn, and what levels of participation are likely to result in successful organizational and personal life.

In exploring the world of models, however, I found in the literature that the first model was the most important. What is your "model of man?" This summer at UCLA we must have spent the greater part of the 6 weeks discussing how to change and how to get people to change. The most basic division of thought had to do with how much people could participate in the decision-making, how much responsibility they could be given, and when one led and when one pushed. Every day in those discussions all of us used some "model of man." Or perhaps several models. We employed some notion about what a man or woman is and how she or he works. Whether we made our models explicit or not, we did form expectations about how others behaved toward us or would respond to something we did. We were not aware in the beginning, that this phenomenon was described in the literature.

What is emerging today in the present studies of behavioral sciences is the open system model of man. There is no one proponent or hypothesis for this particular concept, but the major thrust of such a model is the transactional nature of people--rather than being passive agents reacting to stimulus, people are viewed as active and proactive agents, purposive in nature and problem-solving organisms. Also, in this model, each individual selectively perceives and interprets the influences of environment and the configuration of different factors and forces. This is not the model which is traditionally characteristic of the industrial age and its hierarchical organizations.

While finding out about this open system model of man did not exactly resolve our UCLA disagreements, it has been a real eye-opener for me. With a model of the individual in a place such as this one, the question of further model selection and approaches to change fall much more readily into place. This particular model of the individual is exemplified again and again in In Search of Excellence, another recent best-seller that I would draw to your attention.

With this in place, then, I would like to share with you, first, an organizational change model called the Stages of Growth Model. This model seems especially appropriate to the context that I have been building in the course of this speech in that the model characterizes organizations as progressing along a continuum of stages of growth. There are two kinds of managerial approaches which affect the organizational growth: steady-state and evolutionary. Steady-state management is one in which you have an operations basis of strategy. You look at what you are doing right now and just try to do it better. Growth with this strategy is limited. Evolutionary, entrepenurial management, on the other hand, takes the strategic approach which considers current operations as one part of overall

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growth strategy which can encompass the possibility of diversification through acquisitions into related or unrelated business as well as the investment of existing operations. Other components of the model include single or multiple, and related or unrelated services or products. Basically, however, growth along the continuum is characterized by diversification (or movement into multiple product lines) and by evolutionary, entrepenurial management in which the strategy is rich and varied. This sort of movement emphasizes a different organizational approach to management which departs dramatically from the traditional pryamid of control. While the success of this approach results somewhat from the environment, the managerial factor is pivotal in the change process described by this model. This description--model--seems to me so appropriate to our present library environment and describes how we might control and direct change.

What are some of the other models which apply more specifically to individuals as opposed to organizational growth? This is basically a list, but you can get a feeling for their tenor at least. There is a model for human resources development that brings together what happens for the individual, what happens for the organization, and what happens for groups within the organization and what occurs in the interaction among those forces. There's a model for management development. There's a problem solving model that incorporates the participation of all the people in the organization in dealing with the problems demonstrating how to build goals for the future. There's a model for describing elements in the helping process; that is, how we as humans deal with one another and help one another and help one another grow within the corporate environment. There's the model that we all know about--the theory x and the theory y. There's a group change model and there's another one called the framework for planned organizational change. All of these models are realistic and appropriate to our present and future libraries environment.

Let's come back to some specifics about now, given the context of this paper. We are information workers and we are right there in the forefront of the information society. In high technology, we provide the high-touch. Most of us who work in public services and who interpret for people the library are the high-touch. Those of us who work in technical services are high-touch, but in a slightly different way. Faculty members and students will continue to look to us for high touch as long as we will take the role of providing it. I think our greatest possible competitors are companies which will begin to provide information and will be very adept at using people in addition to the high technology. But for today, libraries are high-touch. We also bring a consistent humanistic commitment to the provision of knowledge. We have always believed in the provision of information regardless of the ability to pay, and that's an issue of growing ethical importance as is the continuing concerns surrounding censorship. Libraries will continue but the Law of the Situation tells that their nature will change. Library organizations will become evolutionary, non-hierarchical, entrepenurial and horizontal. All this means that we will participate--we, you, will participate more in discussions and decisions. We can be the centers for scholarly communication the organizers, and we will be the people who provide the special libraries model service to the campuses that we serve. Everyone in this model will have greater responsibilities and greater accountabilities. And that will continue to change also. As you participate, your responsibility to participate grows, and it just keeps cycling upward.

Our organizational units will head toward generalization rather than specialization. And eventually, we may all be organized much along the lines of what Hugh Atkinson at the University of Illinois keeps talking about: the primal tribe. His position is that groups larger than 12 usually don't get along very well, but a group of people that's 12 or smaller is just large enough to provide some excitement, but not so large that you can't do some changing.

Some management techniques will change. We will have long-range planning, I think, in all libraries in the next five years, which will occur from the bottom up and the top down and come together in the middle. That long-range planning will allow us to buy the future in the way that we do not do now. And a key point that is made in all of the reading I have done so far is that American business strategy has been short-range, "making the money oriented" rather than long-range, "developing the corporation in order for it to be more productive in the future." When I consulted at Dickinson College in 1979 on what they were going to do with their online catalog, I told them, "Don't develop your own catalog, buy somebody's--buy the software, buy the hardware." You'll have all kinds of trouble with the computer center and its expensive to develop and all of that. This last year as I have put together these thoughts, it seems to me that the most important thing that librarians can do in the next year to two years is to have the closest possible relationship with their computer centers that can be managed. Presidents of institutions look at two areas on their campuses when they have to spend big bucks. They look at computer centers and they look at libraries. And if we have to fight with the computer center for resources, we are probably going to lose. If we can have close relationships, we are more likely to succeed together. Now, for a variety of reasons, Dickinson is working with the computer

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center to develop their system. Joan Bechtal said, "You're probably going to think we've had to do the wrong thing." My feeling is that has ended up as a savvy long-range collaboration that might set the stage for the computer center and the library together to become the information providers for the campus. It's a logical way to look at the information resource allocation, and its the best kind of arrangement to develop into the information society that we've been talking about. That kind of long-range planning will be very different from what we've done in the past and will require some short-term decisions that differ markedly from those we have been making up to this time.

Further management improvements will induce budget allocation models that will be different from what we use now. We will have a different way of looking at our job descriptions and other personnel concerns. In the past, most library job descriptions have been contained within the library. I think we are already seeing more and more job descriptions for career staff people and sometimes even faculty members and librarians that relate to other information people on campus. I think we're going to see much more across university job description going on and we need to be very active in describing clearly and accurately our job responsibilities and performance standards. We will see a difference in evaluation. There will be higher standards for evaluation, I believe, because we're going to be paying more and we're going to be working at higher levels of responsibility. We will participate more in those evaluations, and the evaluations will probably be more realistic. We're entering the time when in higher education we've got reports such as *A Nation at Risk*, which is demanding greater professional accountability. We, the people, the taxpayers, are demanding that teachers teach better. That kind of accountability is going to spread over into other public service areas, so that accountability for us is going to be a higher prerequisite.

Staff development is going to become increasingly important. We're going to look at education and our own development in our organization as a lifelong learning process. I think we are going to see more seminars on time management, stress management, computer literacy, wholeness, the ability to listen, and so forth.

Research will become even more important. We have to be able to buy the future by investing in future-orientation. Librarians have to put money into research in addition to what occurs in library schools and the work funded by the Council on Library Resources and other such agencies. Tomorrow's research needs to be information and high-tech aware.

Our own human expectations will change. We're going to look differently at how we spend our time. I don't believe we're going to be 8 to 5 much longer. We're going to look at the work cycle differently. We're going to work at the office part of the time and I think we're going to work at home part of the time. We're going to look at productivity differently. I believe we're just going to have a more open view toward how we can increase productivity or how we can evaluate it. We're going to look forward, we're going to be more participative, and I believe we're going to be more risk taking. Every person who works in a library is going to be more risk taking in the next five years. Stepping outside our comfortable hierarchies can be an uneasy move. The models will help us, but they can't do it all. We have to participate, we have to say what we think; we have to put some of our responsibility on the line and be assessed by the people we work with, and that's not so easy. We have to have openness and initiative and courage and those are qualities which are difficult at times to develop.

The fact is that our cool models exist hand in hand with hot cognitions. Most models call for rational scanning of alternatives and the calculation of probable gains and losses--i.e., cool models. But hot cognitions result in limitations stemming from imperfect information, human impatience, and the difficulty of adding into our equations the emotional components of hope and fear, not to mention our unconscious projections and fantasies. There is no final resolution of our hot cognitions (for which we should probably be thankful), but it is important that they be right out there in the front as we assess our various models.

Now what does this mean in terms of some beginning strategies? First, librarians have to establish a stage of growth model for the university and the library. We are part of our universities and colleges and unless we know how they're going to change, we can't be as active and reactive as we need to be. So we have to examine where the university is going. One path for public universities, for example, is the direction of more cooperation with business--more specialized delivery of teaching and research resources. We see such a development in Alabama and I think it is likely to spread. We have to adopt the appropriate management style and I think in the case of libraries it has to be evolutionary and it has to be entrepenurial. And all of us make that happen. We have to establish a strategic planning mechanism within the library to include present operational issues, the evolutionary management strategies that are going to develop, and management training and education. Staff training and education are important. We have to look at areas of diversification and ask that Law of the Situation question in departments and in the

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library as a whole. We have to establish evaluations and feedback loops and we have to have an appropriate timetable. And we have to begin to do this today.

Knowledge about something does not necessarily mean that there will be some intelligent action or change. In change we usually find a situation that involves experimentation, risk, insecurity, challenge, fear, and courage. There is a need to recognize that change always involves a process of confrontation which involves the areas of knowledge, skill and values. We must recognize that planned change can take place in a number of different areas:

1. Knowledge change area--generalization about the change experience, cognitive or conceptual understanding about the change.
2. Skill change area--the incorporation of new ways of performing through practice of the changed behavior.
3. Attitude change area--adoption of new feelings through experiencing success with them.
4. Values change area--the adoption and rearrangement of one's beliefs (need for confrontation, search and coping).

In conclusion, let me share with you one last thought. One of our very realist assets is ourselves; often thought to be mythical, but nevertheless, fundamentally real. In the book The Universal Traveller, A Soft Systems Guide to Creativity, Problem Solving and the Process of Reaching Goals we are told how we can learn to be creative thinkers. You may not think you're very creative, but creativity and looking toward the future is a learnable and valuable skill. We can be creative people, creative thinkers, creative changers. There are five steps toward developing creativity, and I'm going to share those with you right now.

The first one is, self discipline, or freedom from pride. Pride is used here as a general term for the hangups associated with the lack of self-discipline. To be able to hold your head up high with pride is counter-creative behavior. To be concerned about change is equally alien. Both are traits which detract from the positive attainment of goals.

The second step is the belief in one's ability to succeed. You simply need to be confident and to go on regardless of what happens.

The third one is constructive discontent. You have to be careful with this one since it is right on the borderline between destructive discontent and constructive. But constructive discontent is very positive.

The fourth is wholeness. And we're beginning to see much more emphasis on and understanding of wholeness today. Everything that we sense and know and how we approach things--what's our view of life, what's our view of people?

And the fifth step is the ability to escape from habit. There are good habits and bad habits and we need to review all of them in order to escape from the bad habits and just keep doing the habits that are good.

"MYTHS AND REALITIES: THE ACADEMIC VIEWPOINT"

Moderator: Evan Ira Farber, Librarian, Earlham College, Richmond, Indiana

Panelists: Gresham Riley, President, Colorado College, Colorado Springs, Colorado
Joe B. Rushing, Chancellor, Tarrant County Junior College, Fort Worth, Texas
Paul Olum, President, University of Oregon, Eugene, Oregon

Abstract. President Riley stressed the teaching role of the library; students need to learn to use it to the life-long learners as well as to enhance their undergraduate education; teaching faculty and librarians must act in partnership to promote those ends. President Olum spoke about the research-oriented library, as "a medium for the current exchange of ideas." Its basic character will not change in the next few decades, and in times of retrenchment the acquisitions budget is sacrosanct. Finally, basic policy decisions should be shared with faculty; a strong library committee, therefore, is necessary. Chancellor Rushing questioned faculty participation in determining library policy and stressed the importance of a dynamic library staff. His main point: libraries are as important to community colleges as they are to universities, not despite their emphasis on teaching, but because of it.

Keywords and Phrases. Automation, bibliographic instruction, budget reductions, college libraries, community college libraries, faculty, storage libraries, university libraries.

The College Viewpoint

By: Gresham Riley

The theme for this session -- like all good conference themes -- is ambiguous. The ambiguity is rooted primarily in the word "myth." On the one hand, "myth" can mean a false belief or a belief which, if not false, has at least no determinable basis in fact. An example would be the belief that it is possible for one of the Superpowers to be the winner in a nuclear war. On the other hand, "myth" can mean a story or fable which, although lacking factual or historical accuracy, nevertheless contains profound insights about the human condition or that of a people or a culture. Myth in this sense brings to mind immediately Prometheus, Icarus, or the Garden of Eden. Although I prefer the second meaning, I suspect that the planners of this conference had the first one in mind. Consequently, I shall use "myth" in the sense of "false belief" and suggest, from an academic viewpont, seven such myths.

The first two myths have to be discussed together; because, in a sense, they are mirror images of each other.

Myth #1: The library is the heart of a college with classrooms and laboratories serving (to stay with our anatomical image) as, at best, the brain.

Myth #2: The classroom and the laboratory are the center of the educational process with the library functioning in a secondary, support role.

Now, clearly these two myths would cancel each other as contradictory beliefs if they were not held by different groups: the first primarily by librarians and the second primarily by members of the academic faculty. What are the realities?

Reality #1: Clearly, the library is not at the heart of a college for many (and possibly most) faculty members. They do not view professional librarians as equal partners in the teaching/learning process but rather as on the same level as residence hall directors, counselors in the career center, or athletic coaches. Academic faculty are, for the most part, not predisposed as scholars to recognize and to acknowledge a legitimate educational role for the library and for librarians. My experience is that faculty members have to be brought to this recognition and acknowledgment through education and that they are more likely to be influenced by the local conditions which prevail at their college or university (in particular, the attitude of key administrators as to the role of the library) as opposed to their prior experience or their role as scholars. Finally, large numbers of faculty members consider bibliographic instruction as an "add-on" to the basic course work; they consider mastery of the library to be an easy task; and they believe extensive use of the library to be appropriate for only the brightest of students. For the majority of students, the library should serve as a study hall. Clearly, then, the library is not the heart of a college if one takes seriously the beliefs and practices of many faculty members.

Even if we set aside these beliefs and practices, however, our first myth must be seen as such. The transmission of information, the trial and error of experimentation; the give-and-take of ideas in seminar discussions; and the supervision of, and criticism by, teachers who are experts in their disciplines -- all of this is made possible by the classroom and the laboratory. Consequently, they have to be placed at the heart of the college, no matter what the other functions might be with which they must share this central spot.

Reality #2: At other times and in different forums, I have argued that the principal objectives of an undergraduate liberal arts and science education are the following:

- Preparation for responsible citizenship in a democratic, pluralistic, and technological society.
- Understanding of and appreciation for the actual and the possible relationships between and among disciplines -- in short, the gaining of interdisciplinary insight.
- Development of the ability to think critically and analytically about normative issues.
- Acquisition of skills related to life-long learning.

Since our formal education in the classroom and the laboratory represents only a small amount of time in a full life, this last objective (skills related to life-long learning) is especially important if we are to avoid intellectual and creative stagnation. What are these skills? Among them are at least the following: (1) the ability to identify or recognize a problem or issue which is worthy of investigation; (2) knowledge of relevant sources of information which might solve the problem or clarify the issue; and (3) possession of criteria which allow one to know when a problem has or has not been solved or when an issue has or has not been clarified.

I believe that the library and professional librarians have a major and equal role in meeting at least one of the objectives of a liberal arts and science education. The obvious basis for this belief is that the mastery of library search strategies is central to those skills which make possible life-long learning. Consequently, no matter what other functions and other people might be found at the center of the educational process, the library and librarians have a legitimate claim on that space.

If the acquisition of life-long learning skills is one of the primary objectives of higher education and if the library and librarians can play a vital role in the development of these skills, then we can expose quickly and easily three additional myths.

Myth #3: Extensive use of the library is for only the brightest students; for the rest, it is merely a study hall.

Reality #3: The reality is that we have failed our students if they graduate without possessing those skills which will allow them to continue to learn once their formal schooling is over. Life expectancy in the United States is 73 years. This means, for most of our graduates, 52 years during which their minds can continue to be challenged and expanded. Consequently, every student must become familiar with the library as a learning laboratory which can be used throughout his or her life.

Myth #4: Bibliographic instruction is an "add-on" to the disciplinary content of a course.

Reality #4: The reality is that knowledge of how to frame a question for investigation and of how to identify and to locate relevant resources for answering the questions -- in short, knowledge about how to solve problems -- is as central to academic disciplines as their factual content. Course-centered bibliographic instruction, as a joint effort by faculty members and professional librarians, can result in the acquisition by the student of skills in learning-how-to-learn. As such, bibliographic instruction is integrally related to the primary content of every course.

Myth #5: The teaching faculty in the various academic disciplines are the only educators.

Reality #5: The mistaken assumption upon which our fifth myth is based is that the classroom exhausts the educational universe. It is rooted further in the erroneous belief that "education" and "schooling" are the same. "Education" involves any experience or activity which yields instructive insights about nature, men and women, society, or about the processes by which such insights are gained. "Education," in this sense, is virtually coextensive with life. "Schooling," on the other hand, involves the orderly transmission and evaluation of formal bodies of knowledge, skills, and values. As such, "schooling" requires some degree of structure, regimen, and discipline -- thus, the formal curricula which we have in our colleges and universities.

Once the distinction between "education" and "schooling" is acknowledged, it is easy to see that the classroom does not exhaust the educational universe. Furthermore, it becomes clear that residence hall directors, career counselors, athletic coaches -- and, yes, librarians -- are educators no less than biologists, political scientists, and philosophers. In the case of librarians, this conclusion is underscored by the fact (which has already been acknowledged in discussing the previous myth) that bibliographic instruction is integrally related to the primary content of every academic course. Librarians are indeed equal partners in the teaching/learning process.

This brings us to our final two myths. *Myth #6*: Learning how to use an academic library is an easy task.

Reality #6: The reality is that learning-how-to-learn is as complex as learning philosophy or chemistry. It should come as no surprise, then, that course-centered bibliographic instruction, if done properly, will be gradated and differentiated. This is to say that specialized bibliographic instruction is needed at different points in a student's educational career. For example, certain resources and certain search strategies are appropriate for general reference work in a freshman composition course; others for an introductory biology course; yet others for an advanced course in genetics; others in a student's major field of study; others for a particular course in a discipline; and still others in interdisciplinary subject areas such as urban studies or women's studies.

Mastery of the library will not result from a tour during student orientation, viewing a slide-tape production in the learning resources center, or taking an adjunct course. The issue is simply more serious and more difficult than suggested by such responses.

Myth #7: The library is a well-defined place on campus.

Reality #7: The reality is that an academic library is less a place than an array of functions and services which is to be found in many locations. If bibliographic instruction is course-centered (as I believe it should be), then faculty members and professional librarians will be working closely together for the purpose of determining how best to integrate in a natural way bibliographic instruction with the other objectives of the course. This means that librarians will be called upon by faculty not only to plan courses but also to evaluate the bibliographies which students use for their research papers. As a result, the library is *wherever* courses are.

Furthermore, as card catalogs are taken out of boxes and placed in computer programs, and as lending networks are created through ever more sophisticated programs; then library search activities will spread across the campus, and the library will become all those places from which documents can be drawn.

Even now, but more so in the future, academic libraries will be less substance or a place than function or an activity.

Myths, in the sense of stories which convey profound insights about the human condition, are to be cherished, preserved and transmitted. Myths, in the sense of false beliefs, are to be exposed. My remarks this morning have been directed to the latter task; because, for too long, myths have prevented academic libraries from fulfilling their educational mission within our colleges and universities. The time has come for these myths to be broken.

The Community and Junior College Viewpoint

By: Joe B. Rushing

An audience frequently learns more about the speaker than about the subject. That is not just the biographical data of an introduction. Listeners discover things about the speaker's background, biases and eccentricities. To make it easy for you, allow me, right up front, to enter a plea of "Guilty" on several counts.

I confess to being a 110% advocate of community colleges. I endorse, with enthusiasm, their committment to open access. While no American should be guaranteed a college education, every American should be assured the opportunity to pursue post secondary study. The community college is the primary underwriter of this public policy.

It has long been my belief that technology - old, new, and emerging - has significant contributions to make to the teaching/learning process. Unfortunately, higher education in the past has never been quite able, or willing, to take full advantage of technical developments. That, I gladly note, appears about to change.

A dozen years ago I was dragged, kicking and screaming, into the field of instructional television. I am now guilty of being a born-again believer in that medium.

I confess also of having a love affair with the English language. This began at about the age of twelve when without my mother's knowledge, I discovered the pulp magazine, *Street and Smith Western Weekly*. Spending those early years with such characters as Hungry and Rusty and Trigger Trenton, the Border Eagle, may cause me to be somewhat blasé about what young people read. It did, though, lead to my addition to the written word.

Like many of you, I have concern about problems of post secondary education. At the same time, I suffer from incurable optimism about the future of education and about the future of America.

Now that you know a little more about me, let's look at some of the myths, both stated and implied, about the library in the comprehensive community college. In doing so, perhaps I shall raise a few targets to draw your fire.

MYTH: Place the community college library in a prominent campus location, dress it up to stand out among other buildings, and it will become the focal point of intellectual activity by both faculty and students.

That is simply not true but some of us are responsible for maintaining that myth much too long. It has been my rare privilege to plan and build four community colleges. You cannot miss the library at any one of them. It stands out in the center of the campus, a visual focal point and center of traffic. I regret to say that such prominence may have little to do with the services rendered.

Among the students of a typical community college, there will be many who possess no skills in the use of the library. In fact, there will be many who do not even possess the adequate reading skills. The average community college student is 10 years away from high school. Some have been out of formal education for a much longer time than that. Upon entering the college library for the first time, they are likely to find things vastly different from what they remember. Their old friend, the card catalog, may no longer be there! Microfiche readers and computer terminals may, at first, intimidate more than a few.

Aesthetics and location may be assets, but only assets. A dynamic library has other, more fundamental, reasons for its vitality.

MYTH: The faculty knows best and when given complete freedom, will build a well-balanced print and non-print collection.

The assumption that the faculty knows best is questionable. This is no reflection on those who teach in community colleges. The system of faculty preparation emphasizes, even requires, narrow specialization. In the community college the extremes of specialization are evident. There are some faculty members who possess terminal or other graduate degrees in traditional disciplines. They have colleagues who are highly skilled in technical fields but who have never attended anyone's university.

If you were to allow me to select holdings in history, I would use the entire budget, lean heavily toward military history, concentrate on Europe, particularly Western Europe, and focus on the years from 1930 to 1945. That is an exaggeration, of course, but it happens to varying degrees in every college and presents a continuing challenge to the professional staff of the library.

MYTH: Effective faculty participation in developing a fine library can be achieved by proper allocation of the budget.

It will not happen. Without leadership and direction of competent library professionals, imbalance occurs, and disciplines are neglected. In this time of tightening budgets, we cannot afford to leave library money "on the table".

MYTH: Libraries are of less importance to community colleges than they are to universities because they (community colleges) should be teaching institutions - not research institutions.

This is more than a frequently stated myth. It is a hoax that has been perpetrated on the public for decades. The idea has been propounded by well-meaning community college people in a sincere effort to emphasize the primary role of these institutions. Commmunity colleges in this country have an impressive success story, but research has not been a noteworthy chapter in that story.

In using the term "research", I do not refer to projects aimed at curing disease, discovering more deadly military weapons, or any such exotic endeavors. Other institutions are more appropriately designed for those purposes. Throughout the years, however, community colleges have generally failed to do adequate research about themselves, about the people they serve and about the teaching/learning process itself.

Faculty have not been required to conduct research and publish extensively in order to enjoy security and promotion. That I applaud. Research and the research attitude, however, are essential to a vibrant educational program in any institution which describes itself as a college. That should go beyond the classroom and permeate the professional goals and activities of individual professors.

It is reasonable to expect a teacher of art to demonstrate the ability to create a piece suitable for an adjudicated art exhibit.

Any member of the music faculty of a community college should be capable of giving a respectable recital or have the skill to produce a publishable composition.

A chemistry teacher should be competent to prepare video instructional aids, develop CAI programs, or write a textbook.

The history professor should have the research and writing ability to produce a scholarly work.

The English teacher should be able to write prose acceptable to the critical editor of a professional journal.

Such things can be done in community colleges. Scholarly activity by faculty requires strong institutional support. An essential part of that support must be an excellent library. Unfortunately, it has not had a very high priority in the past.

MYTH: Combining several services under one roof and calling it a "Learning Resources Center" will keep a community college in the vanguard of instructional support services.

Mere proximity does not assure coordination or even cooperation. A unified organization may cover a collection of functions which coexist but with each zealously guarding its autonomy.

At my own institution we profess to be highly centralized and well coordinated. In a year we spend $5 million dollars for library, technical processing, instructional media, television, and computer services - a modest amount by some of your budgets. Some of the functions are now well integrated, but only after a 15-year process. Others are friendly, at best.

There are many "shotgun weddings" at colleges and universities. There are far fewer happy marriages of books, television, computers and audio visual services.

MYTH: A dynamic, effective library/teaching program, if widely publicized, will thrive and be adopted by many other institutions.

One of the greatest myths of all is that good ideas tend to flow throughout the field of education. Millions of dollars are spent each year in developing "model" programs that will never be emulated anywhere. My cynicism has been greatly enhanced by a six-year term on the National Council for the Humanities. During that time I studied thousands of proposals, and a majority used this myth as a primary justification for a grant. It is doubtful that anyone will ever thoroughly and objectively research the impact of these grants on the humanities. The project would be too complex, the probable findings too discouraging.

The Library College concept is an example which effectively debunks this myth. In preparing for this meeting I read several articles from the late '60's and early '70's about the great promise of these programs in established institutions as well as some experimental schools. The articles were in respected journals, and prominent names like Louis Shores and B. Lamar Johnson added authenticity.

My curiosity sent me to the directories of higher education. Most of the experimental colleges no longer exist. A telephone call to the chief academic officer of a well-known college revealed that no such thing as the Library College had operated there during her five-year tenure. Alas, professional education is hardly a promising arena for the inventor of mousetraps!

A myth can be a beautiful thing. Without mythology, the richness of our literature would be sadly diminished. But, management based on myths is no way to run a railroad - nor a library.

The University Viewpoint

By: Paul Olum

In the discussion which follows, I will take seriously the title of this program and talk about some myths and realities for academic librarians. I must begin with a couple of remarks to set the context. First, I am not a librarian nor have I made the kind of extensive use of library resources that is the hallmark of the scholar in the humanities and in many other fields. I am a mathematician, once upon a time a physicist, and for me the library has meant very largely the mathematics or science library. It is relatively easy to get to know intimately such a departmental or field library. My other remark is that I will be talking solely about the library of a graduate research-oriented university and much of what I say may not be meaningful or appropriate for the library of a four-year college or a community college.

I will talk about four things: The nature of the library, the size and structure of the library, the matter of retrenchment as it affects acquisitions and services, and (briefly) the question of who makes decisions about the library.

I. The nature of the library

To begin with, let me ask how we should look upon the library in the university. What is it? I think the general view is that the library sits there in the middle of the campus as the repository of the collected wisdom of the ages. Carlyle would have gone futher, of course. He indicated that one needn't have said center of the campus; there was no reason to have anything else but the library to make a university. None of us really believe that, I assume, although it is a nice description of the depth of feeling one has about libraries. But the description of the library as "the repository of the collected wisdom of the ages" ought to be noble enough to satisfy everyone. Is that so, or is it just a myth?

Well, it is basically real, but it goes too far and yet it doesn't go far enough. No library can contain all of the wisdom and knowledge produced in the world. So that we begin with the severe problem of recognizing that libraries must choose what they are to contain, and a university research library will make different choices from those made by another sort of library. I will come back to this again later, but for the moment we must recognize that every library, even the best and the largest, is going to be necessarily inadequate.

However, a library is also something a good deal more than what I have said. The statement implies that the wisdom is there and we need simply to come often to drink (presumably deeply) at that Pierian spring. But what goes on, in a research library at least, is much more dynamic than that. In this I am referring primarily to that portion of a research library which might be its most distinctive characteristic, namely, the large collections of journals in all sorts of scholarly fields and in all sorts of languages.

From the point of view of the current journals, I think the best attitute to take toward the library is that it is a sort of postal exchange. Those of us doing research or scholarly work would like to write to others to tell them about our achievements, or partial achievements, or ideas for achievements. We can't afford to write letters to everyone else working in the field, indeed we may not even know who they all are, so we write our letters as journal articles for our colleagues to read, and they in turn will write back in the same way. That is really how scholarly work gets done, although, of course, there is an important point of view, namely, that the library is a medium for the current exchange of ideas, not just for the finished collected wisdom to be set down imperishably for posterity. It is a way of talking to one another--important talking, but tentative talking nonetheless. Eventually, when the excitement is largely gone and the subject all wrapped up, then for the most part it will appear in books which are treatises. In particular, it means also that what is in the library is wisdom developing, not wisdom finished; indeed much of it may be false starts, unrealized hopes or worthless or trivial material. But all of this "correspondence" is worth keeping, because only the judgment of posterity will ultimately determine what is valuable and what is not. This all may seem semantic, but it is in fact how scholars work and it does make a difference if librarians recognize and understand this point of view and accommodate to it in the service they offer.

II. The size and structure of the library

Having said a few words about what a library is, let me turn to the question of the appropriate size and structure of a university library. We have already noted that no library can contain all of the wisdom and knowledge, not to mention trivia, produced in the world; on the other hand, every scholar wants, not only in principle but also in practice, to have some kind of reasonable access to this totality of information. Clearly, also, the material most greatly in demand should be the most immediately available. How is all of this to be achieved?

There are three main levels of access to books, journals, papers, etc., for university scholars, whether students or faculty:

1. The university library, as we commonly understand it. This is presumably a rather large collection of materials, mostly available for circulation, placed in easily accessible stacks which are open, at least to faculty and graduate students, and often to many others.

2. The compact storage library. This is a densely packed collection of books and journals which are relatively little used and to which very few service personnel are assigned. The underlying idea is that materials can be called for and received with a day or so notice, but no browsing through the material is really possible. The argument for this is the enormous cost of the new buildings and the associated support services which ever-expanding library acquisitions would require. The customary further justification is that if one chooses books for the storage library by some historical criterion of use (e.g., fewer than three charges in the last five years) no one will be very badly inconvenienced.

3. Shared arrangements among libraries. The implication here is that since no one can have everything, different libraries should specialize in different areas and then service each other through interlibrary loan. A variation on this is that there could be one or more major centers for holdings (e.g., a National Periodical Center) and other libraries would simply call on them for a large bulk of the material.

There is a fourth kind of access which someone will surely bring up if I don't, namely, access to desired information through modern automation, i.e., computers with enormous storage. I am inclined to believe that that is where some of the biggest myths are found, and I'll get back to it in a minute, but first let me say a word about the three types of availability of books that I mentioned above: the standard library, the storage library, and interlibrary loan.

We had a large conference on this subject a few years ago at the University of Oregon because we were faced with a proposal for the creation of an off-campus compact storage library of the type I have described above. We had come to recognize, like most everybody else, that we would, after not many more years, outgrow our present building, and the cost of a new building would be very great, as would the other new buildings which would follow it in the coming years. We were told by many people that the only economically viable reality was to transfer the little-used books to this compact storage, which would be both enormously more efficient and enormously cheaper, to make room for the new books that would arrive. This we were told, at least by some of the experts, was surely the wave of the future, in any case of the immediate future, and the only loss would be a modest delay of access time, a slight inconvenience at worst. One could also, in this reality, look beyond this to the third type of access, by means of which we could give up many of our journal subscriptions and borrow the journals instead, either from sister institutions or from the yet-to-be-built large periodical centers. (No adequate answer, incidentally, was given to the question of how journal publishing was to be supported when most of us stopped purchasing. Possibly this was to be solved somehow by the coming automation.)

To all of this proposal, many of our faculty (especially, I think, those in the humanities) protested bitterly, most particularly at the loss of the ability to browse through large sections of the library looking for relevant matter in a scholarly pursuit. The battle appeared to be one between the right to "browse" and to have desired material immediately available versus the economies of off-campus compact storage. When the dust had settled, the conclusion we came to (and it is one I support) was that the reality depended to a large extent on the size of the library. The off-campus compact storage proposal made sense, and was probably a necessity, for the large library with holdings of 4 to 5 million volumes, but would be damaging for a research library with holdings in the range of a million volumes. In other words, whether the claimed value of the proposal was real or a myth depended on some critical size for a research library. (Of course, there are other concerns to be taken into account, most particularly the variety and magnitude of the teaching and research programs at the institution. These will affect the specific determination of critical size, but I have left quite a bit of room between a million or so volumes at one end and 4 to 5 million at the other.) Below that critical size, the number of volumes was such that one could assume that a sufficiently large portion of them had an immediate relevance, enough at least to justify keeping all of them fairly close at hand and available. And the same goes for the need to continue maintaining journal holdings in such a library, because for the most part these titles are not going to be the most wildly esoteric ones, but are rather likely to have been matched to the institution's academic programs. Nothing is absolute, and decisions are rarely final, but we have for now come down quite firmly on the side of trying to keep our present holdings fully accessible on campus.

I promised above to say a few words on the subject of the library of the future which, it is claimed by some, will be a place not of books and journals but rather of access to information--information which will appear on a television screen or computer printout. The most advanced form of this vision seems to be that there will be an enormous computer, or network of computers, which will have stored in their memory banks a gargantuan world almanac of all desired knowledge and information. A query will then quickly produce the wished-for answer. Now, of course, this is truly a myth. Nothing like this is going to happen; there is no possible technology for gathering, storing, and classifying all of this information.

At best, what is possible is that books and research papers will, when published, be accompanied by certain key words; then, in limited areas, one will be able, with such key words, to have a computer search done which will provide a list of some of the possibly relevant publications. This is already available in a limited way today, as you know, in medicine, law and many scientific fields. We can even assume further that each of these publications will contain a summary paragraph or page describing the contents of the full work. Given this, one can then choose which publications one wants to see. At that point there will be nothing to do but to get the actual works and read them.

Ultimately, then, we will need to have available the same kinds of materials we have now, and will have to read them in the same old ways to find out what we want to know.

For the foreseeable future I believe this means libraries will remain what they are, just as we understand them today, full of monographs, journals, etc. Perhaps the time will come when all of this -- the full works themselves -- will be stored in computers, and we can simply call up on a TV-terminal or printer the work we want to read, but I do not believe this will happen in a significant way before some decades have passed.

Please do not misunderstand me. I am not opposed to an appropriate use of automation and I do not question that computer searches are extremely helpful in turning up works of possible interest. Perhaps this can even someday begin to replace the "browsing" that is so important to scholars, but I find it hard to believe that my friends in the humanities will ever be happy with this.

In any case, I do not believe that automation will soon provide the great revolution in our libraries that is often predicted as part of the coming "information society." For a very long time to come, we will be reading books and journal articles to extract for ourselves their concepts and their wisdom, and we will not be relying on information extracted from them and digested for us by machines.

III. Retrenchment: acquisitions and services

Many universities in this country have encountered severe budget reductions in recent years, with a consequent need for retrenchment throughout the institution. That has certainly been true for us at the University of Oregon. We have suffered from a severely inadequate budget for the University for a decade or more, and the past four years have been horrendous. Much of this has taken place during a time of very heavy inflation in the cost of books, especially of journals. Nonetheless, during this period of retrenchment, the stirring battle cry has been raised by many of the faculty, including librarians, that the library budget, above all, must be held inviolate. Is this position a really possible one for the university or is this claim a special privilege just another myth?

It may surprise you that, with respect to acquisitions (but emphatically not with respect to personnel and services), I believe the claim to be a real one.

I believe that we at Oregon have suffered a financial crisis at least as severe as that of any of our peer institutions in the country, and our budgets have been cut most drastically. Nonetheless, over this period and up to the present, we have held the library acquisitions budget, and essentially that budget alone, protected from all reductions; and I mean that we have provided for the library not only its continuing budget, but also, without reduction, the additional funds which were required to compensate for inflation.

The reason, I suppose, is partly symbolic. It is a declaration to our students, our faculty, the public, and the state government, of the crucial importance we attach to the library holdings in the functioning of the University. But there is a more practical reason, for books and journals which we do not purchase currently may become much more difficult, even impossible, to acquire at reasonable cost after a few years have passed. Basically, we try to protect the things which are central to our mission and which may not be recoverable if lost. Thus, we do similarly protect the heart of our permanent faculty, even though we may make some reductions in faculty positions where our central strength will not be lost and where restoration is possible later. This explains, too, why we have not been willing to hold the personnel and services in the library sacrosanct, but have cut them along with many other, also necessary, services in the University. Of course, that is painful for the institution, and the result is that significant current needs are not adequately met, but the damage need not be long-term, and can be repaired in better times.

I do not in fact know whether we will be able to protect our acquisitions budget completely if our financial problems should get worse, but it is a real principle to which we are fully committed, and not a matter of lip service to a high-sounding declaration.

IV. Who makes the decisions?

It is clear that the long range decisions on the size, structure, budget, etc., of the library, which I have been talking about just above, are ones which must be broadly based in a university, ultimately coming from the administration with the support and participation of the full faculty. I doubt that anyone would argue with this.

But there are other decisions that have to be made, more internal in character, having to do with the day-to-day functioning of the library. Perhaps the most important question here is who decides on acquisitions, and according to what principles are these decisions to be made? For example, to what extent should university departments each control their own share of the acquisitions budget, and who decides what the share should be? There are many other questions, such as the level of services to be made available to users, and even more mundane ones such as who gets keys to branch libraries and what hours the libraries are to be kept open. Is it reality to expect that all these matters are to be decided by the librarians, since they are presumably the ones with the necessary expertise?

Well, you are surely all familiar with the statement that "war is too important to be left to the generals," a reminder I offer you with some trepidation since I am, of course, here talking to the generals! Nonetheless, it is important to say that these matters should not be left solely to the librarians, but that an important share of the decision-making on the use of resources, on acquisitions, on personnel, on services, should involve the users, most particularly the faculty. Of course, the expertise of the librarians is crucial but the control should not be theirs alone, since the function of the library is a service one and the needs of the users, which they themselves best understand, are paramount. This means, I think, that in a university there must be a strong independent library committee whose role is advisory to the university librarian, but which also reports effectively to the central administration of the institution. Such a committee surely must have no actual control or veto power over the university librarian, but should be in a position to argue strongly for its views. If this is done in a spirit of mutual respect, the ultimate decision-making will be a process which is shared by the librarian and the representatives of the university community.

I don't mean that these issues are simple ones, easily decided by consensus, and I am aware that this approach makes the job of a university librarian rather more difficult than that of the average college dean. Conflicts will inevitably arise, but they will surely be there anyhow, and their joint resolution by librarians and faculty will have an important effect in building both a well functioning library system and faculty support for it. In the rare cases where it may be necessary, the mediation of such disagreements (presumably at the request of the library committee) is one of the proper roles of university administration.

In general, there should be very little need for the central administration itself to become involved in the details of library decision-making. What is terribly important, however, is for the administration to have--and to be seen by the university community to have--a deep, in fact passionate, commitment to building and maintaining a first-rate research library.

PRIVATE SECTOR INFORMATION UTILITIES

Frances G. Spigai, President
Database Services
Los Altos, California

INTRODUCTION

My talk today will focus on the many aspects of electronic publications and the variety of information service enterprises which have grown up around electronic publishing. Some of these enterprises compete with library services directly; many more form part of the increasing chain of services used by libraries. Another group provides information services to end users who would not otherwise receive them. I'll be exposing some of the stellar features of these services in order to weave a pattern of today's information service realities.

MEGATRENDS FOR INFORMATION PRODUCTS

Before looking at the smaller picture, however, it may be useful to look at the list of megatrends identified by John Naisbitt from his recent best seller.[1]

MEGATRENDS

1. Industrial society	→	Information society	Effects on "industry," professions & economics
2. North	→	South	
3. Forced technology	→	High tech/high touch	
4. National economy	→	World economy	
5. Short term	→	Long term	
6. Patriarchal values	→	Feminine values	
7. Centralization	→	Decentralization	Effects on information flow & information services
8. Institutional help	→	Self-help	
9. Representative democracy	→	Participatory democracy	
10. Hierarchies	→	Networking	
11. Either/or	→	Multiple options	

Figure 1

I've arbitrarily grouped the trends into two sets. The top six have effects on "industry," our professions and economics; the bottom five have effects on information flow and information services. Those of you who have read Megatrends know that the majority of the trends identified (which are believed to be major sociological forces in our lives for the next decade) are attributed to the continuing evolution from an industrial to an information economy where information is the strategic resource, not steel and where value is increased not by labor (Marx) but by knowledge (Naisbitt). Many of the services and products I'll illustrate exhibit the effects of decentralization, self-help, networking and multiple options and, in turn, fan these megatrends. These are trends which have and will become part and parcel of many successful information services; they become useful in design criteria for conventional library services as well. Before leaving this slide, let me call your attention to the megatrend numbered six here. Naisbitt and Patricia Aburdene, Naisbitt's wife, co-researcher and co-speaker on a number of occasions, identified an eleventh megatrend late last year: the transition from patriarchal values to systems incorporating more feminine values. That may be particularly relevant in information services where professional groups are often predominantly female.[2]

INFORMATION TECHNOLOGY, INFORMATION CONTENT AND INFORMATION SERVICE

Before passing from megatrends to electronic publishing, permit me to make some distinctions which will be useful to keep in mind as we discuss services and products. Data is not equivalent to information is not equivalent to knowledge. Even Mr. Naisbitt seems to waffle between these terms when he discusses "mass produced knowledge." Information **technology** is different from information **content** is different from information **service**. Because the information economy is growing so rapidly and is so popular to cite, these terms have become confused by Madison Avenue and other language trend setters. Many companies manufacturing computers call themselves information companies, yet the Information Industry Association's largest constituency is publishers. During the '80's, many new information technologies will continue to emerge. The successful ones will be mass produced and drive down prices; they'll be integrated with other technologies during this time and a large installed base of these new technologies will be used by many levels of society. This is what has been happening with microcomputers and microcomputer software.

THE ROLE OF MICROCOMPUTERS IN ELECTRONIC PUBLISHING

Thus it is essential to take a look at the impact of microcomputers on electronic publishers. It is estimated that 1985 will be the year revenues from U.S. shipments of personal computers will exceed revenues from shipments of mainframes. In less than eight years, the U.S. will have made the transition from a mainframe economy to a personal computer economy.[3] By 1985, one out of six U.S. office workers will use a personal computer at work and one of four homes will have a "home computer."[4] In a dramatic graph, forecasters at Future Computing, Inc. in Richardson, TX have drawn an analogy between the growth and penetration of the black and white television in the 1950's and 60's and the personal computer today.[5] U.S. penetration of close to 90% is projected for the early 1990's. More to the point for electronic publishers, storage is becoming cheaper and more compact -- my computer store representative (as in my accountant or my doctor or my lawyer) said the 3-1/2 inch disks I use for my MacIntosh would soon hold two megabytes -- at a time when I'm wondering if last year's five megabyte hard disk capacity will be adequate for our LISA files. Finally, look at the "mass" storage trends for personal computer owners. February 1984 forecasts are already obsolete.[6] Communications software has been tapped as the next major area of high growth software, much as entertainment software was up until a year ago, and as productivity software such as spread sheets and word processors have been and continue to be, although the steepest part of the curve for productivity software is past.[7]

With such a large installed base of microcomputers with communications software, modems and local storage capacity, by 1990 most Americans will have a third printing press in their homes. Peter Drucker, in his 1980 book *Managing in Turbulent Times*, identified the television and the telephone as the first two.[11]

ELECTRONIC PUBLISHING AND ACRL LIBRARIES

Once the barrier of capital expenditures for information technology has been removed from a large enough portion of the marketplace (i.e., for microcomputers, video cassette recorders, etc.) and the costs of information technology have decreased for ongoing purchases (software, telecommunications, storage media), publishers will see a large market for electronic publications unlike the very small market that exists today. By the end of the 1980's, electronic publishing will begin to flourish. It is a myth to think of electronic publishing as a widespread commodity for ACRL libraries to redistribute before that time --the variety, relevance and economics are simply too limited.

Only after both technology and content are available to a large segment of the population will information services themselves flourish. The library is an information service. ACRL libraries will find opportunities and rewards in the 1990's unlike any they've experienced before. They'll flourish alongside a wide variety of information services, everything from the equivalents of fast food services to gourmet restaurants (the multiple-options megatrend). And with publications becoming a digital commodity, decentralization and networking are immediate by-products.

Now that the future time scale is set, let's have a quick overview of electronic information services and markets today.

ELECTRONIC PUBLISHING--A SNAPSHOT OF 1984

A rough breakdown of total online databases listed in the Cuadra Directory for mid-'83 indicates about 60% are full-text or numeric databases; the remaining 40% are bibliographic or directory databases. Almost half of the databases fall into a business/financial/ trade/industry category, another quarter are pure and applied sciences including engineering. Databases for the social science and humanities, and multidisplinary databases account for 13% and 8% of the 1700-plus databases available in mid-'83. Consumer databases comprise only about 7% of the total. High growth areas are full-text and statistical and textual and directory databases. Subject categories climbing fastest are trade and financial, high tech and consumer interests (particularly through the videotex services).

The Online Industry
Mid 1984

Databases Online via Public Vendors	2150
Database Publishers	1000
Database Distributors	350
Communication Networks	14 Public (>40 More Private)
Users/Subscribers	1/2 Million Unique
Revenues	$3 Billion
Royalties	>$750 Million
International	60 Countries
Growth	Revenues: 25% Subscribers: 60%

Source: Directory of Online Databases, Cuadra Associates, and client studies, Database Services.

Figure 2

The next figure shows some typical costs for a variety of database markets. Prices have been rising over the past few years for databases used by library and professional markets, while those seeking consumer markets have been trying out different distribution technologies (e.g., cable television) in order to drive down costs. In fact, the few ASCII services oriented to non-business horizontal markets (CompuServe and The Source) have either had modest price increases during the past year or added higher priced services to their product lines. Note the additional, usually higher, price structures for numeric databases. Often, these databases are part of a packaged information service that includes some customized hand-holding or information analysis along with the search and distribution services.

Figure 3

ONLINE DATABASES

COSTS	Typical costs
• CONSUMER	$15-30/hour
• REFERENCE	
Gov't	$25-60/hour
Prof. Assn./Institutes	$40-90/hour
Commercial	$60-150/hour
(Record charges: pennies to dollars; typical = 10-50 cents and grow[illegible]	
• SOURCE*	
Textual	$[illegible]0-150/hour
Numerical	[not easily characterized]

*OFTEN REQUIRES:

- Proprietary equipment
- Monthly minimum
- Annual subscription fee of hundreds to tens of thousands of dollars

OFTEN INCLUDES:

- Consulting & customized customer support

TRENDS IN ELECTRONIC PUBLISHING

An inspection of online services directed to end-user markets points to system and service features which can be expected to be more widespread in the future and which already shape the perspectives of the users and patrons of ACRL libraries. The trends below are meant to illustrate major features.

User friendliness--Features will include auto-dialing, menu-driven or prompting modes which require little or no training, and smart help messages to keep the use of documentation to a minimum. Centralized gateway services or gateway software on microcomputers will be standard and may actually decrease search costs because of off line search formulation. Command languages will be complemented by touch screen systems or systems exploiting function/keys or the mouse.

Full services--Features include electronic mail, computer shopping, facilities for personal file store, consulting and/or extensive customer services.

Pricing--Many options will exist in the near future because electronic publishing will be so competitive near-term and to compensate for short-term higher prices.

Use of microcomputers--Because the micro has local storage and processing capabilities at a price rivalling "dumb" terminals, micros will be a universal terminal of the future. This use will permit simple and inexpensive decentralized database distribution. Segmenting and updating digital publications will permit subscription sales following the models already in place for magazines.

Graphics--Both computer prepared graphics as well as integration with video discs will be available for services where graphics are essential (i.e., where the economics support their existence).

Expert systems--The reference interview can be started and often finished by search services employing prompting and profiling techniques. While this outgrowth of artifical intelligence has yet to make its way into general reference service, the very specialized applications of expert systems in biotechnology and electronic and energy engineering promise fertile fields for the transfer of technology and software for other databases.

SEVEN MYTHS ABOUT ACRL USES OF ELECTRONIC PUBLICATIONS

What roles do online information services have in an ACRL library and what are some of the myths and realities surrounding the uses and abuses of such services? I have chosen to illustrate just seven myths with short scenarios and brief narrative from this very Orwellian time; the names have been changed to protect the myth makers.

- A database service is a database service is a database service (apologies to Gertrude Stein).

Dr. Peter Organic was just lured away from a major southwestern university to head the chemistry department at a university in the SUNY system. He brings two grants and a small cadre of research associates. The university has beefed up this department with resources in the past 12 months and has even provided the library with additional funds to support this growth. The library has a low-cost subscription contract with a major online vendor. The vendor offers Chemical Abstracts citation searches online as part of its service and that's what Dr. Organic will be using most frequently. The first several requests passed along to the library's sci-tech specialist in chemistry, Joe Catalyst, drove the blood from his face.

(a) Here's a partial picture of the compound we're attempting to synthesize. It's part of a family of compounds with this structure. Who else is attempting to synthesize anything with a structure of this sort?

(b) We're working with an ethylene derivative and hanging several fluorides on a number of bond points on the carbon ring. Find me all records discussing compounds containing ethylene difluoride compounds and bonding.

Other questions have to do with ring structures, and searches requiring components of molecular formulas to be available. There is also a complicated chemical patent search involving index points indicating the real meaning of patent language text.

The online system subscribed to has Chemical Abstracts citations and patent citations online, but is not equipped to allow a searcher the sophistication of the searches requested. Different vendors offer a variety of value added and it varies from database to database. Customer service and documentation and training support also vary greatly and should be part of a subscription consideration in addition to cost. Would you buy an Osborne today? If so, you'd expect little beyond the equipment. Things are not so obvious with database services.

- Patrons won't pay for information services.

One of three class assignments for business course 605, Corporations in America, is to trace the stock history of Zynatek, Inc. for the last two years and to provide an essay of company activities based on research of the business press during the same time period. Marian Supertek has saved $250 from her summer job as a microcomputer programmer. She wants you to conduct searches in the Dow Jones News/Retrieval Service and in Investext, available online via the publisher, and in Predicasts' PROMT database on DIALOG. You run a small college library 130 miles from the nearest city. You employ three reference librarians; two can search a variety of databases on BRS and one used to search the New York Times Infobank database until it was licensed to Mead. You never heard of Investext, and you don't have passwords for either Dow Jones or DIALOG. Even if you did, no one knows how to search them. You're not even sure it's appropriate to let Marian pay $250 to get the research done in 1-2 hours; it's supposed to take at least 10-15 hours of research to gather materials for the term paper. Other students are whirring away at film versions of the Wall Street Journal and reading the reserve room copies of the annual reports you requested for this class. How do you handle Marian? If you decide to try to help Marian, what do you do for Sally Poorfamily, who has asked for similar searches but hasn't a penny to pay for anything?

(See Kibirige for a more comprehensive treatment of the information pricing dilemma.)

- Students shouldn't be allowed to use bibliographic information services because they'll never learn proper methods for research and literature searching.

Mike Hytek, Marian's cousin, uses his handheld microcomputer with modem to search The Source, Knowledge Index and BRS/After Dark for bibliographies for his electronics class. One day he arrives at the library with a 23-foot ream of 4-1/2 inch printout paper from his tiny dot matrix printer. He wants to locate all the journal articles available in the library for the 239-record answer from his six-database search on three systems. Mike is smart about circuitry, but knows nothing about bibliographic database structure. He has printed out records in full formats for two databases, abstracts for two more and just titles for the remaining two. You can see by the results that the yield for the 239 total records is largely irrelevant and could be much better. However you have neither passwords for any of the three systems, nor do you know the retrieval languages even though you speak BRS, SDC, DIALOG, National Library of Medicine and GTE Telenet. And besides, Mike is ecstatic with his results -- he thinks they're wonderful.

(a) How do you help him unravel his references so that he can get journal titles?

(b) How much education do you provide in translating collation and source information among so many formats?

(c) How much do you educate him regarding search strategy and how bad his searches are and how much better they could be?

(d) Can you and should you interest him in using some printed A & I resources?

- ACRL libraries are training a core of online searchers who will form the backbone of reference services for the 80's.

Joan Enterpreneuse has been working in the Sci-Tech Reference Department at Small Town Tech Junior College for four years. There are twelve librarians at Small Town Tech: five in technical processing, four in reference, one in circulation services and two administrative librarians. This is Joan's second reference job since she graduated from library school. Joan is outgoing, enjoys online searching and wants to start up a modest fast-service sector in the library for searches and document delivery for fourth year students and for faculty with research projects and for any staff who are writing professional articles. Joan's boss has been a reference librarian for 23 years. She understands the utility of online searching though she doesn't do searching herself. She is concerned, and so is the Head Librarian, about a project dependent on one person. The library decides instead to place its discretionary budget money in subscriptions for six new engineering periodicals that have experienced more than 12 interlibrary loan requests apiece in the past two years.

Joan has two published articles about online searching and has attended two national library meetings where she has reinforced in person the personal contacts she's made on the customer service phone with online vendors and publishers.

Next year the rapidly growing electronic publishing industry once again raids the brightest and cheapest of the labor force offered by libraries throughout the world and Joan is one of the industry's prizes. She makes more money, has a chance to watch some of her ideas take shape and is in the fast lane.

Is there a way the academic library community can stop this "brain drain?" Information broker and electronic publishing opportunities will only increase during the next few years.

- More is more.

Customization, profiles, alerting services, and SDI's all contribute to patron's understanding of how on-demand publishing of relevant segments of a number of publications are more valuable, time-wise, than the entire publications. The value added to competent use of online information services is selectivity coupled with relevance.

- The library can provide any information service with existing staff.

The Bioengineering Department at All American University has just received a grant to research a new approach to solving a health problem afflicting inner city blacks with a certain hereditary composition. They believe they can come up with a solution in 12-18 months. Each month 250-300 children are stricken and 50-60 die from this disorder. Part of the six-month ambiguity is dependent upon information services. If the initial literature search and document retrieval could be completed in less than two months instead of the three estimated by the library, at least two months could be cut from the project time. The Bioengineering Department must use the All American University Library which has collection and staff strengths in Psychology, Social Science, Earth Sciences and Life Sciences with specialists in Plant Biology. How does the library provide rapid, top-notch information service to this Department?

- The business of the library is information.

Each quarter Information & Database Publishing ranks retrieval services by customer count; it's the only "reliable" information about the size and growth rate of the industry, since data on revenues is so closely held by most companies. Of the 28 services listed, only five would consider libraries as their major market: DIALOG, BRS, Mead, OCLC and NLM. Two of these five (OCLC and NLM) are the only non-profits to have made the list. A tally of all the users of these services adds up to almost 700,000 subscribers. Even with overlap, there are probably more than half a million unique online users; only 10% of whom are library staff.

Who are these other services? What information do they sell and who are their markets? Four of the top ten are considered consumer, or home information services. They have experienced very high growth over the past two years -- benefitting directly from the high growth of microcomputer sales (except for Prestel). They all offer "low-cost" ($15-30/hour) services for a market I'll call the American Express Gold Card market (American white males between 30 and 50 and earning over $50,000 per year). Information on personal business (stocks, travel, merchandise) and business news (WSJ, UPI), modest personal file capabilities and electronic mail are their major appeals. Among the next group are financial information services for business (Quotron, Telerate, Reuters, AgriData, Bunker Ramo, CNS). Credit checking makes up another group (Chilton, DunSprint) and Equifax, for financial planning. General, financial database and timesharing computational services (I.P. Sharp, GEISCO) a couple of vertical market vendors -- PRC Realty, MLS (realty) and InnerLine (banks), a couple of news services (VU-TEXT and News Net), a gateway to a variety of services listed above (Delphi) and a game distributor make up the remainder of the services.

WHAT BUSINESS IS THE LIBRARY IN?

This last mythical statement brings us, full circle, to the question Megatrends suggests we ask ourselves: "What business are we in?" I believe ACRL libraries are in a state of transition between emphasis on local acquisitions to emphasis on access to the world's literature and information. Library resources are shifting from a knowledge base in local collections to a knowledge base in reference networks and reference expertise. The library's business needs to shift from acquiring and cataloging of print and non-print media to consulting and referral for electronic and other information and information service delivery.

IMPACTS OF AND ISSUES IN ELECTRONIC PUBLISHING FOR ACRL LIBRARIANS

The next five figures list some impacts of electronic publishing on libraries as its utility spreads to the larger workforce and consumers. By 1990 the ACRL library will have experienced changes in the reference and patron service areas at least as dramatic as those in the technical services and circulation areas brought about by online catalogs and automated circulation systems. These will be wrenching changes.

Macro
Impacts on Libraries

- More Information-Conscious Professionals
- More Demands of Libraries as Novelty Effect Wears Off

Figure 4

TECHNOLOGICAL
ISSUES

- Microcomputer ("Universal" Terminal)
- Software (dbms & acctg)
- Local Databases & db Subsets

Figure 5

IMPACTS ON RESOURCES

- $'s
- Research Collection
  vs.
  Source Documents
  vs.
  A&I
- Brain Drain
  Women First

Figure 6

POLICY ISSUES

- Whom do you serve?
- How do you apportion budget? Costs?
  (fee vs. free)
- Service Offerings:
  (Proficiency vs. Comprehensiveness)
  - Accreditation
    (a rose is a rose is an online service)
  - Skills
- Ethics & Legalities
  - Advise vs. inform
  - Confidentiality
  - Copyright (Downloading)
- Fostering Intrapreneurs
- Centralization vs. Decentralization

Figure 7

**FUTURE
INFORMATION SERVICE
SKILLS/ROLES**

- Education
- Evaluation
- Acquisition
- Installation
- Consulting
  (Q&A Negotiation)

Figure 8

Drucker contends we are in a time of turbulence for decision makers. The ". . . greatest danger is a temptation to deny reality." However, he sees this as a time of opportunity for leadership ". . . for those who can understand, accept, and exploit the new realities." It's an opportunity ACRL librarians are already recognizing.

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explained, I am sure that you can see this happening in your profession. I understand that women now account for greater than 50% of all students in some pharmacy schools. This megatrend is as important as anything that has happened in this country in this century."

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"MYTHS AND REALITIES: THE USER PERSPECTIVE"

Moderator: Susan Smith, The Evergreen State College, Olympia, Washington

Panelists: David M. Buerge, Duwamish Tribal Historian, Seattle, Washington
Ronald R. Jeffels, Open Learning Institute, Richmond, B.C.
William L. Parson, The Evergreen State College, Olympia, Washington

Abstract. The panelists presented three diverse views of the role of librarians from the users' perspective. Mr. Buerge spoke to the need for librarians to assist independent researchers by identifying and helping historical societies, churches, municipal, state and local government units to organize their collections. Mr. Jeffels reminisced about libraries and librarians he has known, and urged librarians to return to old traditions. Dr. Parson suggested that librarians could be more helpful to students if they moved out of the library and into the classroom to work more closely with other faculty.

Keywords and Phrases. Bibliographic instruction, change in librarianship, independent researchers, librarians, library users, non-library resources, user perspective.

Strategies for Plunder

By: David M. Buerge

For the past ten years I have been independently researching the history and folklore of the Duwamish people, the aboriginal inhabitants of the area we call 'Greater Seattle.' The Duwamish were the first signatories of the 1854 Treaty of Point Elliott, but unlike many of their neighbors they are not recognized as a separate tribe by federal authorities and did not receive a reservation. In part because of this they have been largely ignored by historians, ethnographers and linguists. They did not disappear, however, and for the past 130 years they have been struggling to obtain the rights promised them in the treaty their ancestors signed. I became their historian in 1978 after spending several years assembling a mansucript treating the pre- and early history of the Seattle area, and presently I am helping them prepare their legal petition that they intend to submit to the government seeking federal recognition and the rights attending that status.

From the beginning my work has depended heavily upon the academic library, in this case the Suzzallo Library of the University of Washington and in particular, its Northwest Collection. Time and finance have prevented me from making intensive use of other academic and research libraries in the region, but because I was an independent researcher and could, therefore, set my own deadlines and choose the lines my inquiry would follow, these restrictions were minimized by the richness of the Suzzallo's collections and the services rendered by its staff.

This comfortable situation began to change, however, as editors set deadlines for the publication of my work and the specifics of the Duwamish Tribe's petition began to alter the scope of my research. The numerous criteria of the petition required that the social and political history of the Duwamish people--areas in which virtually no work had been done--be examined and documented in great detail. For this the great depth of the Suzzallo system and its Northwest Collection was invaluable: indeed, without it the work would have been impossible. My increasing visits to the library more resembled plundering expeditions as I came in with long checklists of problems and questions needing solutions. It was no longer a case of going where the research lead me but rather one of following a pre-set course through the system. In this situation the limitations of the system quickly revealed themselves.

Fortunately I had been exploring local sources outside of the Suzzallo Library, sources which I found contained at least as much information about the Duwamish as exists within the Suzzallo system. Frankly I am amazed at the richness of this local, extraneous material, not just about the Duwamish but relating to many areas of interest, in particular women's and ethnic groups. It may be that my surprise is due more to architecture than to a realistic understanding of the nature of academic libraries--one is less suprised at finding riches in a grand, neo-gothic setting than on a dusty shelf in a storage room--but academic libraries do far more than serve the academic community, and the value of this extraneous material is made more significant by the fact that so few know about it and that much of what exists is in danger of being lost.

For example, in the summer of 1980 I was ushered upstairs into a storage room of the Administration Building at the Hiram M. Chittenden Locks where, in a dusty closet, I found linen scrolls thirty feet long on which were drawn maps of the Black and lower White Rivers as they existed in 1895. The river channels were criss-crossed with sounding lines and the vegetation on their banks was noted with great detail as were the locations of settlers' houses and several Indian Villages. Copies had been made from these maps and later published but much important information had been deleted. They were an important source of information about the Duwamish. They were also uncatalogued, and the administrator responsible for them was unaware of their content and about to ship them to a storage facility in Virginia.

In another case, I was permitted to read and copy sections out of a 400-page manuscript typed in the late 1920's by Arthur Ballard in which were preserved literally hundreds of myths and historical reminiscences of Duwamish and Muckleshoot elders of that time. Most of the material was entirely new; all of it was valuable. The copy I read rests in a closet in Orting, and the only other copy is in a private warehouse somewhere in Los Angeles.

Finally, only a few weeks ago I discovered in the newly organized Archives of the Catholic Archdiocese of Seattle a small, folded sheet of paper on which Bishop F. N. Blanchet had numbered in his miniscule handwriting the populations of the native groups in his Oregon Diocese--then covering much of the Pacific Northwest east of the Cascades--as they existed at some point between 1847 and 1854. This census appears to represent new information, and its numbers vary considerably from others made during the same period.

Others who have done extensive research will have had similar experiences, but I am also confident that many researchers have not the time to spend poking around attics and dusty storage rooms or the money to go off searching for others yet more distant. The same can be said of those public and private libraries and archives scattered so profusely around the nation whose collections are well-catalogued: time and money prevent many of us, and especially the independent researcher, from visiting many of them much less most.

For these problems I suggest two strategies that might move the academic library closer to the ideal sought after by this conference and which would also greatly aid in the task of research. For one, much of the local extraneous material such as that collected by historical societies, ethnic and women's groups, religious bodies and businesses is uncatalogued, and its owners are often unaware of its value. Academic libraries and especially those associated with schools of library science seem to be in the best position to search out this diffuse material and help organize and preserve it. I think most academic libraries are doing this to some degree, but I sense that often the areas in which they concentrate reflect more the concerns of their paymasters and the lines of funded research rather than a more dispassionate and perspicacious view of a region's history and culture. This is why materials relating to ethnic and women's studies were ignored in the past and why those relating to folklore and religious studies are ignored in the present, the latter especially by state schools like the University of Washington.

The secondary strategy has to do with those systems that are catalogued or, given the success of the first strategy, will be catalogued. I think it is as important to know what a library or archival system does not have as well as does have, and this can only be known by examining its catalogue. Beside its own catalogue I would like to see a large system like the Suzzallo Library have as part of its collection the catalogues of other systems--to have a catalogue of catalogues if you will. Computer tapes or disks would make this possible for a small cost and use of space, and I can think of few things that would aid research more than, after having exhausted one system, to be able to have at my fingertips the catalogues of other systems to be able to peruse--and plunder--at will.

Libraries: Grotesques, Arabesques, and Humouresques

By: Ronald R. Jeffels

We Canadians are cold-blooded, ruthless, evil-in-the-eye revisionists. Remember you heard that confession and national cry of mea culpa from my lips first.

You didn't know we were revisionists, did you? You thought we were just nice, decent, honest, apolitical, trustworthy folks to your north who pay taxes to an absentee Queen, speak French even outside restaurants, and espouse whittling as a national industry.

It's just not so. We're cruel. We like purges, relish them in fact. Linguistic purges, that is. So we have a tendency to strip innocent consonants from rather decent and proper words, words with noble histories, words that really shouldn't be chopped, truncated, eviscerated or otherwide disembowelled. Perhaps, just perhaps, it's the influence of our English forebears. After all, in their mouths Cholmondeley emerges as Chumley, Colquhoun as Cohoon, and literary as l'try.

So Canadians attend the denist's office for periodic denal care. We refuse to go genle into that dark night: we rage against the dying of the light. We patronize your southern Colonel with his Chicken 'n Chips; and we have more than passing affection for your Emerson and Thoreau and the other Transcendenal Poets

And we're not without ingenuity. So it won't surprise you to learn that we've created an entirely new race of people called Libarians. I'm not quite sure of their provenance, but presumably they're all born in The Levant and come as immigrants to our shores as qualified professionals to run what Canadians call libaries. The Libarian I know best tells me that her readers are particularly quarrelsome and nasty minded in the month of Febuary. I suspect it has something to do with that tormented hiatus in the year when the decaying snows of winter begin to yield to the first blown blossom of the plum...but not yet.

Now, this conference poses an enigmatic theme: Academic Libraries - sorry! - Libaries: Myths and Realities. I've chosen the former not the latter. So I want to talk about that mythical race we Canadians have created. I want to deal with the customs, mores, and manners of Libarians; and in my psychological and anthropological study I may have to be nostalgic, perhaps a little sentimental, upon occasion lacrymose.

Libraries are a bright flame in the smoke of my memory. Libraries were as much a part of my growing up as the neighborhood church. And they were just as awesome, just as holy as the pulpit from which an avenging minister condemned me and all the black sins and imaginative crimes of which I was guilty, directly or by association. I had a misspent youth.

I went first to a library at the age of six, in palm-sweating fear, accompanied by a highly-sophisticated sister two years my senior who - I take a solemn oath on it - had already mastered the convoluted and sinuous ways of a card catalogue. Pride rose in my throat like a sweet and drowsy syrup as she nimble-fingered her way through all those imposing titles that paid testimony to man's slow progress from cavern to council chamber.

So we ranged together through the elements of history and geography and poetry and the novel and something called civics and something else called the fine arts, with stops now and then at the theatre and what I knew later to be anthropology. I mean at the level appropriate for those of tender years.

And I though it a wondrous journey through time and space, a journey made the easier and more exciting by the first woman to whom I ever gave my heart by an act of unconditional surrender: the children's librarian.

At first I knew her only as a pair of feet: long, slender, exquisite feet in gray silk stockings and black court shoes, feet that moved in precise little ballet steps under the lengthening skirts of the late Twenties because the time of the flapper had come and gone. Those feet passed and passed again close to my table, and for a year I never dared look up as that Goddess of Desire bent over me to suggest this or condemn that. I knew I would turn into a pillar of salt if I did.

So it was she who taught me that it's no myth to believe in the omniscience, omnipresence, and omnipotence of reference librarians; and I haven't changed my mind in the interval. Time has only confirmed that article of faith. Years later, after the war, after four years spent close to some of the more remote and exotic geography she had taught me, I went back to pay her tribute and to show love. But she was dead, and part of my life had gone with her. So had much knowledge and much wisdom.

In a Prairie school in the late Thirties we had a library. It was housed, all thirty volumes of it, in a single glass case at the back of the assembly hall: no taller than a tall man and just a little wider than old Mrs. Harrop who taught French and English, both badly, and who ate too many things that derived from warm, dark chocolate slabs and heavy cusps of meadow cream. Like Mrs. Harrop, the case had three shelves. See me later about Mrs. Harrop and I'll tell you about her shelving.

The Principal alone held a key and he surrendered it to no one. To gain access to the Book of Knowledge (that compendium held all there was to know for Prairie folk), you sought an audience with him, then waited on a bench outside his office under an old pendulum clock that measured your heart beat. And he finally gave you admission in the haughty manner of a feudal lord conferring a boon on a serf supplicant.

You see, he'd been a captain of cavalry in WW1 and he knew more about horses and their parts than he did about the human psyche. He taught me something about those who are custodians of books. A few - thank God only a few - are reluctant to open the treasure hoard and allow the barbarian to touch the holy, golden chalice. It makes for an untidy inventory, this endless coming and going of books. Better that books remain unsullied and unopened: cold, remote, solitary, and beautiful in their appointed places, like Patience on a Monument. Does that possessive, they're-mine-all-mine spirit still exist in reality? I think not. It's part of a myth now dead.

Since those remote days I've gone questing to many lands in search of the holy, golden chalice, including the libraries of nine Canadian universities, three colleges, the Bibliothèque Nationale in Paris, the British Museum, and that special sanctuary in Cambridge where in April, this month, the daffodils still march down in golden hordes to lay siege to the river-moat.

Now, I finally grew to like that librarian in Cambridge but it took time. you see, he caught me in flagrante delicto one afternoon as I was idly turning the pages of a 16th-century writer of fabliaux. I mean, it was the honest-to-God original copy: mouldering calf-skin cover and yellowed pages with liver spots that smelt of time and the river. It bore the colophon and the name of an Amsterdam printer and the date of publication in tormented Roman numerals which I've never really learned to decipher and thank God they don't use that practice anymore except on late-night television movies to conceal the real age of those masterpieces by Bogart, Bergman, and Crawford.

Anyway, he caught me inserting a naked, somewhat simian, index finger near the spine of the book - for Heaven's sake! - and idly turning the pages. His cheeks bulged like the lava dome on Mount St. Helens. He'd found a new Vandal, a Hun, a Visigoth, a Lesser-Breed-Without-The-Law.

Fury contained - after all he was British - he showed me physically and painstakingly how to take the top, right-hand corner with caressing thumb and index, slip the full, open palm beneath the page, and turn it g-e-n-t-l-y: like a knowing lover with a shy lady on a narrow bed. I was 26 years of age with two university degrees, a mouldering soldier's tunic in the closet, and some modest experience of the world. But I flushed, blushed, rushed to lower my head and obey. It's no myth that books should be treated with respect, and I praise that librarian and all others who fret, natter and rage against those who seek to deface or despoil our communal treasures.

That same librarian with the bulging lava dome told me a tale - true, he swore - about the stripping, pillaging, and desecration of collections. And it's no myth that the practice continues unabated even in 1984, even in the policed parts of Western Christendom. It goes this way. The senior librarian of Cambridge was entertaining his counterpart from a large American university. Let's get onto neutral ground and call it...let's see...Chicafornia

Chicafornia: Tell me, sir, do you have trouble with people who...well...uh...steal books from your library?

Cambridge: Trouble, my dear chap! Trouble, old horse! Sweet Heaven, it's an abomination! An affront to God, Man, and the Devil! (I'm told that Cambridge always spoke in upper case, italics, or interrogation marks.) Why only last year at inventory we found that we'd lost, irrevocably lost, thirty volumes! (Thirty elongated and elasticized, of course.)

Chicafornia: Thirty volumes, thirty, you say! (Rolling, Homeric laughter.) My God, man, we lost three thousand last year and only full professors have access to the stacks!

If the story isn't true, it ought to be. Now, it may attest to the rapacity or - let's be charitable for Easter, - the forgetfulness of professors, but it also suggests that we Eighty-Fourers are rather less attentive than we ought to be to the safe-guarding and protection of collections.

Not that I'd like to see the security measures of the Bibliothèque Nationale adopted in North America. Perhaps the BN has changed since I was there last in the early Seventies. I hope so. As a visitor from abroad you needed a laissez-passer signed by a recognized authority who knew all your scars and moles, a mug shot, and a deposit. Finger-prints were still not required. But remember, it's not possible to take books out of the BN. You have to work in situ.

You filled out the cards, took them to Argus-eyed women at an elevated, last-judgment desk, watched the cards placed in a metal cylinder and then despatched down tubes by spring-loaded catapults to the bowels of the BN. And you waited. My god, you waited! I was almost arrested for loitering with intent; I spent so much time on those buttock-bruising benches.

If your taste in research took you to the dreaded L'Enfer, you had other troubles. L'Enfer, you remember, houses all the books that are terribly rare or terribly scatological. I wanted both: the rare and the scat. And that's no charge against my sense of morality: I'm a prude. It's just that I was doing an article on the followers of Rabelais: those salty, racy, muscular short-story writers of the Renaissance who aped the great master. And you know Rabelais.

The place had an iron grill for a door and uniformed guards who sat in exquisite French symmetry on either side. You approached with an academic visa obtained elsewhere in the building. The guards read the request, rolled Gallic eyeballs heavenwards, gave you a look that said *salaud*, and eventually brought the book. I rarely enjoyed those visits. Sometimes the guardians at the gate can be too attentive, too alert. And that's no myth.

I move at last from myth to reality. I swear by gods foreign and domestic that I can think of no instance in my writing and researching over the last twenty years when I have encountered anything other than sound professional behaviour, careful assistance, gracious courtesy, and scholarly guidance of the highest order. I have never posed a question that wasn't answered. I never asked for a book that couldn't be found, there or by interlibrary loan.

Some things I regret with the modernization and computerization of libraries. I loathe, hate, and despise those damn catalogues on microfiches, the ones that show funereal black on a glaucous screen, the ones that leap author, century, and title at the slightest misdemeanour by my trembling index. But that's only a minor irritation, reserved for those of us who are electonic idiots, those of us who have the acid of age in our bones and miss the reassuring tactile sensation of riffling through cards. Or maybe that riffling is just a piece of silver-plated nostalgia going back to my days as a poker player on Friday nights, when we were young , when the spirits flowed and the witticisms cascaded. I'm sure I can be cured but it might take a time-warp.

But some things leave me with a permanent itch and irritation and here they are, *seriatim*.

I still can't accommodate myself to the library as a place of assignation, amorous intrigue, and mating ritual. Strange things go on in the stacks these days, I'll tell you; but I'll fly my eyes at half mast and refuse, prudishly, to elaborate. Ply me with liquor later and I'll tell all.

I cannot accept the library as surrogate fast-food outlet. You know...soggy cups of Big Orange Slurp, Chinese food in see-through cartons, bananas and other soft fruits hand-held over *Richard III* and Fraser's *Golden Bough*

And I don't really like the new undergraduate wired for sound, permanently connected to his Sony Walkman as he prowls the sacred corridors and chambers of the library. He's listening to false gods.

And I can't stand the noise in today's libraries: full-throated accounts of last night's athletic exploits, on and off the court; résumés of those runs and reruns and rereruns of M*A*S*H; digests of gossip and gossip about digestive tracts. Remember when libraries were places for silence, sanctuaries against the outside world? Now, damn it, they're Arab bazaars.

I fret just a little about the increase in gratuitous, oftimes patronizing, underlinings and notes in the margins of some of our better authors. I know that my predecessor is only trying to be helpful: drawing my attention to this or protecting me from that or obviating the necessity of my following the text with moving lips and moist index. He's only trying to assist me, I know. But I wish he wouldn't.

And finally, since we're dealing with myths at this conference, I rather wish the Greeks or the Romans or the Egyptians or the Celts or the Slavs had created a Goddess of Libraries. To do violence to Voltaire just for once and, of course, to steal from him like the rest of the scholarly world: "If no such Goddess exists, it is necessary to create Her." Name me that Goddess and I'll genuflect in Her presence.

But perhaps, just perhaps, She already exists in the smoke of my memory: she of the gray silk stockings, the black court shoes, and the long, slender, exquisite feet that moved in precise little ballet steps under a lengthening skirt.

I met Her...half a century ago.

User Perspective On A New Paradigm For Librarianship

By: William L. Parson

In his analysis of the need for change in librarianship, Paul Wasserman observed that,

> While present cultural conditions are critically important to every institution, they have particular meaning for the field for librarianship. For the fact of change itself, causing the turbulence which characterized the nation, calls for appropriate support in the interest of a healthier social and political condition. The situation poses a particular challenge to an institution charged with responsibility for information dissemination.

> Information access is on more importance under conditions of change than in a time of stability. However, if facts are separated from fancy, the slogan from reality, the ideology of librarianship is still reflected in the passivity of its institutional forms.[1]

Though this was written some 12 years ago, the significance of his message is still clear and pertinent today. Wasserman, no doubt, anticipated a time when change would proceed at a pace slower than that leading up to the publication of his book. We live, however, in an age where change is proceeding at what seems like an exponential rate and there are no obvious and immediate signs of a slow down. Thus, Wasserman's analysis becomes even more critical for us to reflect upon and to incorporate in our views of information access and information dissemination.

In a recent essay, Francois Jacob suggested that "myths and science fulfill a similar function: they both provide human beings with a representation of the world and of the forces that are supposed to govern it. They both fix the limits of what is considered as possible."[2] It can also be said that the myths surrounding libraries and their policies often fix the limits of the possible, sometimes to the disadvantage of the user. The library, from the user perspective and by virtue of the library personnel's reasoning, is a service agency that positions itself at the center of the academic environment. The reality of this perception is that the library is a service agency. Many libraries, however, do not construct programs that move beyond the limits of a simple service agency. For this reason the notion of the service agency can often be a hindering concept for many users.

That the library is the center of the academic community is a mythical concept for many college and university libraries. To the extent that librarians and library users believe this myth, the library profession constructs a variety of self-justified and self-limiting beliefs about the practices of its members, the organization of the library, and the institutional identity of the library. Interactions of librarians with users and with other professionals within the academic community are strongly influenced by these self-justified and self-limiting beliefs.

The myth of the library being at or near the center of the academic community is maintained, paradoxically, by the insistence of librarians on the independent status of the library. That symbol of independency is a distinctive one, but it is troublesome in that it frees the library from the more obvious identifications with teaching and learning and with research (excluding, of course, research libraries). For this reason users tend to develop a view of the library that accords it a custodial function. Similarly, library personnel are often adjudged to function with interests that loom precariously close to being proprietary. An additional problem with the independent status image is that it obfuscates attempts at evaluating library effectiveness, mainly by rendering it nearly impossible to find obvious connections to real or potential sources of evaluation.

As service agencies, many libraries occupy themselves mainly with bibliographic instruction of a predictable, often dehumanizing nature. This kind of orientation to user service is codified in library policies. From a user perspective this narrowly conceived concern of the library imposes limits on function that can result in the promulgation of conservation programs and a rigidification of the custodial practices alluded to earlier. This is the kind of issue that was addressed by Mona McCormick in a recent article in which she discusses library instruction and critical thinking. McCormick suggests that the search for information "should lead students to the really interesting part - dealing critically with information. The search, of course, is not an end in itself. If library education focuses only on how to locate information and on the particulars of a certain index. . .it will soon bore the student who does not experience the challenge and creativity of using information critically."[3] It is the failure to be concerned with the critical treatment of information that calls into question the notion of the library as the center of the academic environment. Effective pedagogy makes the issue of critical thinking a priority of the first magnitude. Only when this issue is made a top priority agenda item in a library's programs and policies, can that library legitimately speak of its centrality to the academic environment.

As important as McCormick's article is, even she does not go far enough with her vision. Her prescription for change still largely confines library instruction to the edifice and within the context of library tours, classes, and lectures.[4] A new paradigm is needed to serve user interests and to foster the idea of extending critical thinking through library service. In arriving at a new paradigm a reassessment of the service agency mythology should be foremost on the agenda. Progressive policies and general library organization coupled with the imaginative application of the skills of professional librarians can offer a range of operational freedom heretofore unacknowledged. The new paradigm must be based upon innovations that transcend merely adapting old customs and policies to library users. This becomes especially important when the users represent new clients and client groups whose demands may leap beyond the traditional demands made on libraries. Moreover, visionary planning and practice must occur if libraries are to move from their usual orthodox passive stance to a proactive orientation. This means, of course, that academic libraries may have already reached the point where they can no longer be content to wait for users' calls for service. Libraries which have not as yet made this discovery may still be shackled by the self-containment of their passive stances. Until movement is made in the direction of adopting proactive programs, libraries will remain largely unresponsive to the needs of new client groups and will certainly find it difficult to anticipate new situations and new contingencies that impinge on library programs. The failure of libraries to be responsive to the demands imposed by minority students when minority enrollments swelled at mainstream institutions during the late 1960s and early 1970s can be attributed, in large part, to the self-containment of passive programs and practices.

Any new paradigm will also call for professional librarians to be sensitive to forces inside and outside the institutional environment that affect library users. An awareness of these forces is not sufficient. In addition, there must also be a recognition of the impact of these forces on library policy (especially regarding matters of library acquisitions). Once again, professional librarians will be confronted with a strong mandate: abandon narrowly conceived services and look to novel techniques and developmental strategies for assisting library users and for anticipating needs yet to be expressed by users. In more than a casual way this mandate will push librarians toward a form of academic engineering. The engineering should have as its manifest purpose the improvement of user output and efficiency in accessing and utilizing information, the conservation of human resources, and the humanizing of the library's impact on users of its resources. In a recent article, Mary Huston spoke to this mandate when she suggested that research instruction might be better handled through an empowering of the library user to operate from her own domain of experience rather than moving into that of the librarian's.[5] Huston appropriately argues that students can draw from experiential conceptual frameworks as they do bibliographic searches with the net result being greater receptivity and comprehension and the recognition of the applicability of the information.

Although Huston argues in favor of the librarian removing herself from the position of expert in this encounter with the user,[6] it may be more appropriate for the librarian to remain in the position of expert as new paradigms of librarianship move librarians toward more proactive roles. The traditional role of the librarian and its reflection in library policy offers, from the user's perspective, a rather nonspecific invitation to make use of library services. If user-specific invitations are to be issued, then librarians may have to become information advocates or, to crudely paraphrase Huston,[7] sociologist of information. Thus, the librarians must assert their expertise and must act, as sociologists of information, as a nexus between the information and the user of the information who may be caught up in turbulence of change Wasserman[8] spoke of. Such a paradigm takes on a strongly political flavor. It represents a radical point of departure from traditional librarianship. With regard to new client groups, in particular older undergraduate students, minorities, and the handicapped, any new paradigm of librarianship must account for the fact that these particular clients have personal agendas and academic agendas which are inextricably linked. Very often this is not the case for the traditional user of academic libraries, that is to say, young undergraduate students. These new client groups represent a segment of the academic community whose interests are guided by their quest for empowerment through knowledge and the acquisition of information. Moreover, because the needs and interests of these new client groups can differ so dramatically from the traditional undergraduate student, the new paradigm of librarianship may also call for library programs to leave the edifice and seek out new locales wherein some of the services are offered. While this, too, might seem to be a radical departure from library tradition, such an act would simply bring libraries in step with the campus mainstream. Venturing into new locales in service of new client groups would afford most libraries the opportunity to bring innovative thinking into their programs. Simultaneously, professional development might be enhanced through such ventures.

Clearly, the foregoing discussion points out the need for librarians to adopt a new paradigm in which there is a radical shift away from their strict identification with the library as an agency or institution to an identification with the client or library user. Such a shift will enhance the effectiveness of the librarian as an information advocate or information interpreting agent. It will also bring the library closer to the real and potential sources of evaluation. In the same light, librarians who concentrate actively on a multidisciplinary application of their expertise will find it an easier proposition to develop and implement services and programs for diverse client groups. Moreover, they will be able to step significantly beyond merely matching library users with information without intervening in the process of "valuing explanations, arguments, and critical attitudes toward facts."[5] This kind of intervention is essential to the process of students becoming literate and developing critical and analytical perspectives.

In conclusion, let us return to Francois Jacob's essay. He says,

> Whether in a social group or in an individual, human life always involves a continuous dialogue between the possible and the actual. A subtle mixture of belief, knowledge, and imagination builds before us an ever changing picture of the possible. It is on this image that we mold our desires and fears. It is to this possible that we adjust our behavior and actions. In a way, such human activities as politics, art, and science can be viewed as particular ways of conducting this dialogue between the possible and the actual, each with its own rules.[10]

This is an instructive statement to librarians and to library users because it draws our attention to the importance of information vis-a-vis establishing a dialogue between the possible and the actual. Librarians, in that aspect of their role that casts them as disseminators of information, are central participants in users' development of their sense of the actual. The users' belief structure and their ability to innovate and to be imaginative provides the basis for using this sense of the actual to conceive the possible. The participation of librarians in this dialogical process should restore for them the challenges that are often negated by the self-containment of a passive role.

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REFLECTIONS OF A COLLEGE LIBRARIAN: LOOKING FOR LIFE AND REDEMPTION THIS SIDE OF THE ARL

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Abstract. *The professional status of the college librarian has declined in the ALA and ACRL as the prestige and importance of research-centered universities has grown. Current enrollment trends in higher education portend a special threat for colleges, adding yet another dimension to the problems--real and perceived--inherent in smaller institutions. Professional librarianship's bias in favor of large institutions reflects a lack of understanding of the challenges and rewards of college librarianship.*

Keywords and Phrases. *ALA Presidents, college libraries, crisis in higher education, professionalism, status as a function of size, teaching role of college libraries.*

I have been asked to speak on myths and realities: the college perspective. Doesn't sound like a rousable subject, does it? I regret that. Wouldn't it be nice--just for a change--to have a library conference talk that would stir us up, say, like William Jennings Bryan's speech stirred the delegates at the 1896 Democratic Convention--that "Cross of Gold" speech? Remember Douglas MacArthur's farewell at the joint session of Congress? Or Martin Luther King's speech at the Lincoln Memorial? Along with all our bland earnestness at library gatherings, I'd like a good peroration occasionally, wouldn't you? A stirring exhortation! Something memorable!

But there are perils in that. I should have learned that in the little high school I attended in the bayou country of southern Mississippi. That was back in the days when there were frequent student assemblies and it was an accepted thing to bring in the local ministers and other public figures of the village to give us inspirational talks. I recall that we made it pretty tough for the speakers. You might say that we defied them to inspire us. We were bored. We were inattentive. We dozed. We worked math problems. I'll never forget one desperate clergyman--on a return engagement, he was--who apparently decided we would remember his message. At the climactic moment he drew from his vest pocket a wooden object and blew what was indisputably the loudest duck call ever heard in that room. As we sat there stunned, transfixed, he rendered his words of wisdom. And his talk was remembered. For years we laughed about that crazy preacher and his duck call. None of us, regrettably, harbored the slightest recollection of what it was he had so earnestly wished to leave indelibly printed on our young minds.

And it is true that a few years ago in an address to the plenary session of the ACRL at the ALA meeting in Chicago, I determined that a crucial part of my talk was, as it turned out, written on a tombstone. And there did seem nothing for it but to lug the darn thing all the way up to the podium--never mind what it was doing for my lower back problem getting it up onto the lectern. So I did. And for years I have been encountering people at these conferences who come up to me and say: "Hey, weren't you the guy with the tombstone?" And I say, "Yep!" And then they usually say, "Um, hmm." Do I ask them if they remember the point I was trying to make? Oh, no! I know better. Being memorable has its perils.

I want to talk a bit about the decline of the status of the college library in the ALA and the ACRL. I want to talk some about the crisis of higher education and the special dilemma of colleges. And I want to talk about the implications of all this for college librarians. I'm not speaking primarily to college librarians, although I hope some of them will find this useful. I'm particularly anxious to speak to those of you in other kinds of academic libraries.

The college perspective? The real problem with this assignment is that there is no college perspective. I hasten to assure the program chairman that this will not prevent me from talking about it for quite a long time.

There are in fact lots of college perspectives, but nothing that could be said to represent all colleges, or even colleges generally, so many colleges there are and so varied in size and type and purpose. That variety constantly undermines the effectiveness of the College Libraries Section--a section which in terms of clout is, I'm afraid, one of the weakest in the ACRL. The only thing we seem to agree on is that if we abolished the section today, tomorrow someone would be sure to try to reinstate it. There has to be a college libraries section, for crying out loud! It is the oldest--indeed, the ACRL itself grew out of the College Library Section of the ALA.

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But if you look at the membership list, as I have done, and see who's in it and what libraries they work in, you soon discover it ranges from small institutions such as the College of the Desert in Twentynine Palms, California (one of my favorite place names) with fewer than 50,000 volumes, to Wesleyan in Connecticut, which is fast approaching the million mark. And there are lots in between. They are private; they are state-supported. They are church-affiliated; they are non-sectarian. Some think of themselves as traditional liberal arts colleges; others, following the lead of the community colleges--which, incidentally, have their own section--are heavily committed to individualized, consumer-oriented education. Some are parts of urban university complexes; others stand alone in the vastness of the prairie. They just don't hang together neatly as a group. About the only thing they have in common is that when you compare them with the top hundred or so universities in the ARL (and the next phalanx of large institutions whose librarians apparently yearn to be in that select group) the purely undergraduate colleges--let's face it--are *small*.

Much of what I want to say has to do with the implications of that last statement. What are the effects of being small in America? the real implications and the psychological--which are not necessarily the same as the mythical.

WHO ARE THE "COLLEGES"?

For the purposes of this talk we have to agree on some useful generalization that will serve as the idea of what we mean by the term, "college." In the absence of a conventional definition, I had thought that we could use a definition that emerged from the statistical delimiters of a recent survey--indeed, one of the first fairly comprehensive studies of college libraries to appear in our literature in many years.[1] In his report, Dennis Reynolds focused on the approximately three hundred academic libraries listed in *The American Library Directory* which were in institutions in which the highest degree granted was the baccalaureate, where the enrollment was between 500 and 2,000 students, and whose libraries contained between 65,000 and 250,000 volumes. For our purposes, however, those delimiters are not entirely suitable, for they exclude a number of well-established, mostly undergraduate institutions in which a lot of us work. (Indeed, I should observe that it does exclude my own institution, of course, because we have about 2750 undergraduates--counting those in the Conservatory, many of whom take double degrees in the College of Arts and Sciences--and our library has around 900,000 volumes-- if one counts all those thousands of books too brittle to use.) Perhaps it would be better to think in terms of mostly undergraduate institutions with less than 4000 students and no more than one million volumes, but remembering that there are many institutions well below those limits.

I should also say at the outset that a key frame of reference for me--but not an exclusive one--is the concept of the liberal arts college: that undergraduate institution which offers an education both sequential and cumulative, theoretical yet practical, specific and interrelated; which seeks to nourish the mind without neglecting the interests of the whole person. Put differently, I have in mind the kind of institution which accepts the assertion advanced by one of Oberlin's most articulate sons, Robert Maynard Hutchins, who insisted that the aim of higher education should be to produce men and women of goodness and wisdom. (Actually, Hutchins, true to his Oberlin roots, went further: he said it should cultivate social consciousness and a social conscience as well.)[2]

It is inescapable, I suppose, that someone, half-listening, might assume I simply mean what was once called, first with pride and later with derision, the "élite system" of higher education in universities and selective colleges. I'd like not to get sidetracked by a discussion of elitism, one of those dirty words like "liberal" and "conservative" which, on closer examination, turn out to be not very useful. I myself do not hold that liberal arts colleges are engaged in trying to turn out an élite class, just a bit of leaven in the lump of western civilization.[3]

Back to myths and realities. It is a fact that through the nineteenth century, when the traditional liberal arts colleges were still ascendant, the term *college* simply meant *academic*. The word was used indiscriminately for all institutions of higher learning well into this century, including those now largish institutions whose constituents would be a bit offended if you mispoke and called them colleges today. With the rise of the modern university in the early part of this century, and the flowering--if that's the right word--of the multiversity after World War II, things were different. The term "college" had acquired a more restricted meaning; it now referred to a subset of higher education, the most obvious characteristic of which was that its individual members were comparatively small and insignificant.

DECLINE OF THE STATUS OF THE COLLEGE LIBRARY IN ALA AND ACRL

That development was reflected, of course, in the history of our own professional associations. You know, I'm sure, that when the American Library Association was founded, its first president was an academic librarian--a college librarian, if you will--Justin Winsor of Harvard. Even so, almost from the first there was grumbling from the academics about the Association's orientation toward the public sector, and that dissatisfaction--which expressed itself most pointedly in the threat of holding separate meetings--led to the formation of the College Library Section in 1890, not officially recognized by the ALA until 1900.

Perhaps I could digress here to remind you that, all told, only a fifth of the ALA Presidents have been academic librarians, for whatever that says. For a time it appears to have been ordained that a college librarian was to be made President at thirty year intervals. Thus, William Isaac Fletcher of Amherst so served in 1891-92; and exactly three decades later it was the turn of one of my esteemed predecessors at Oberlin, Azariah Root (note the predilection for persons with Biblical names); and in another thirty years it was the librarian of Mt. Holyoke, Flora Belle Ludington (who broke that tradition, plainly enough).

And the thirty year cycle has been broken, too. Indeed, as the mystical year of 1981-82 approached, and passed, it seemed hard to imagine the ALA ever again electing a college librarian to its presidency. For that matter, fifteen years have passed since the ALA has had a president who was indisputably an academic librarian, if you reckon Russell Shank as having come from the Smithsonian. (It is probably significant that during the past 15 years seven ALA Presidents were persons from the field of library education.)

To return to my narrative, it is fair to say that throughout the years academic librarians' loyalties in the ALA turned to the College Library Section, which itself went through several changes. First of all, its name was changed to the College and Reference Libraries Section in recognition of the affinity with the reference specialists of the major public libraries. Subsequently it was called an association instead of section and elevated to divisional standing. In 1938 when it reorganized itself, it set up five distinct subdivisions: one for junior colleges (eventually to be called community colleges), one for those reference librarians in the large public libraries, one for libraries of teacher-training institutions, and, formally splitting the universities from the colleges for the first time, one for each of those categories. Actually, only a few years earlier some of the directors of the large institutions had taken the first steps which were to lead to the formation of the Association of Research Libraries--and that, as nothing before it, marked a refinement of what was meant by "college." Fifty-three percent of the libraries represented among the original membership of the College Library Section became charter members of the new ARL fraternity.[4]

In 1939 when the new associational journal (C&RL) appeared, the "R" stood no longer for reference but for research. As A. F. Kuhlman explained in the first issue, three of the association's sections were for "colleges," and "as for the other two [sections], in the strict sense of the word, 'university' stands for research."[5]

Eventually the Association, too, changed its name to The Association of College and Research Libraries, thus reenforcing the sense that college and university libraries were two quite different kinds of enterprises. Indeed, the college library had plainly fallen to a very secondary status in the profession, and as the modern university came increasingly to represent American higher education, the college librarian's role in the association was predictably much reduced. In a way that diminution of status is symbolized, no doubt inadvertently, by the very arrangement of these theme addresses in this meeting: leading off with the university perspective and letting the college librarian tag along at the end, like a caboose.

[Doubtless those of my acquaintance in the audience who know my penchant for re-writing my talks on the way to conventions, and who know that I came here by train all the way from Toronto, are already wondering how many other references there'll be to railways. I want to tell them not to bother to count because I'm pretty sure that caboose is going to be the only one.]

THE CRISIS IN HIGHER EDUCATION

Occasionally at this conference we've heard some allusions to the present crisis in higher education. Actually, it has always been possible to describe American higher education in any decade as being in a state of crisis. That's the way educational pundits talk. But as one gloomy Carnegie Report after another has described what the future seems to hold in store for us, "crisis" does not seem an inappropriate word.[6]

In part, I suppose, it represents a legacy of the loss of confidence in all our institutions that young people have felt beginning with the trauma of Vietnam and the troubles of the Sixties. Doubtless part of it is economic: the contracted jobs market, the overall decline in growth that became acutely felt in the Seventies and continues, in higher education, at least, today. In part it must reflect a dissatisfaction with the alienation, the depersonalization and shallowness that is commonplace in our colleges and universities, as well as throughout our society.

Sometimes the very reading of the various reports of anguish and alarm emanating from academia conjures up for me a frightful phantasmagoria, a circus of the macabre:

> *In the center of the arena lumber those ponderous, overgrown educational behemoths, fattened on government grants, showing a growing appetite for research contracts with multinational corporations, recognizable by their massive institutional services, their global ambitions, and their blinkered faculty attendants (themselves preoccupied with personal research and individual aggrandizement, innocent of a shared purpose, who mill about, disheartened, while*

> *teams of bureaucratic mahouts try vainly to gain control of the massive beasts); and hectored all the while by people with sharp pointed sticks marked GOVERNMENT REGULATIONS, RETRENCHMENT, COLLECTIVE BARGAINING, COST EFFECTIVENESS, and COMMERCIALIZED ATHLETICS. For all their size there is about these Gargantuas a look of sameness and conformity that is curiously disquieting.*
>
> *From seemingly everywhere throngs of community colleges--looking for all the world like fast food vendors--hawk their wares through the assembled spectators. They already account for over fifty percent of the post-secondary students in the country, but still hustle in order to expand their markets.*
>
> *Here and there someone has set up a stand to tout the latest faddish panacea. COMPETENCY-BASED EDUCATION reads one old banner; LIFE-LONG LEARNING proclaims another. Neither is attracting great enthusiasm.*
>
> *Passing over a variety of other institutional creatures on the floor of the arena, one is conscious of some frightened figures huddled in clusters around the periphery, eyeing one another somewhat suspiciously. They're the four-year colleges. They've just been reminded by the public address system for the umpteenth time that the pool of available freshmen is still shrinking and there'll not be nearly enough to go around. Some of them are not going to survive! Frantically a few attempt unconvincingly to disguise themselves as universities by expanding their course offerings. Others start following the community college vendors into the crowd. Some are nervously studying their mission statements and here and there you see one scanning the Yellow Pages in search of a good public relations firm to help polish its image. From time to time you find one slumped in disbelief, paralyzed by uncertainty. An air of anxiety and sadness hangs over the whole scene.*

It's not a pretty picture. Is it myth or reality?

Well, the plain truth is that there is a serious challenge all of us face in higher education, and the conventional wisdom is that smaller institutions are in trouble.[7]

SPECIAL IMPLICATIONS FOR COLLEGES

With fewer prospective students coming from the secondary schools, colleges have been preoccupied with survival strategies. But if you cut back your curricula and scale down your institution, you risk making it less attractive to your traditional clientele. If you try to maintain your student enrollment by lowering admissions standards, or endeavoring to attract new students by changing the mission of the college, you can lose another way. In any event, it seems, the future of the smaller institutions may be in doubt, if not in actual jeopardy.

That's an eventuality the large institutions apparently do not face. There one may fret about the effects on individuals of retrenchment and budget reallocations--and even the loss here and there of a program or a department, including some of those superfluous schools of library science. One may of course become rightly anxious about the quality and direction of the overall educational program. But the question of the long-term survival of the university does not hang like a pall over the campus.

Being small in American academia means living with that terminal question.

Being small in American academia means being ineligible for many research grants, being nosed aside from the trough of many federal and state subsidies.*

**For example, despite general increases in the budget of the National Science Foundation, that agency has apparently written off liberal arts colleges and other predominantly undergraduate institutions in supporting programs of science education. The Department of Education refuses to fund foreign language programs except in the large universities. The revolving door of personnel appointments between the universities and these government agencies, moreover, seems likely to reinforce the attention being given to the interests of the former.*

Insofar as "large" also means "public," the bias is reflected on the Federal level in the recent cuts in financial aid to students which are especially injurious to private education. At the same time on the State level public institutions are becoming much more aggressive, and successful, about going after foundation support once regarded as the special source of help for institutions lacking state revenues. There is a special irony here. Being small and first-class in academia usually requires efficient and prudent fiscal management. State-supported higher education, while almost invariably more expensive and less efficient (running perhaps 40% higher in costs per student), reacts to budget cuts not entirely by belt-tightening and greater efficiencies, but by raiding the traditional revenue sources of the private institutions.

Being small means limited resources for capital improvements; it means being hard pressed to buy the instruments essential for first-class instruction in analytic chemistry.

Being small in academia means having difficulty attracting and sustaining the ablest teachers and librarians and providing adequate opportunities for personal development for both faculty and staff throughout their careers. As someone reminded me recently, even those colleges which succeed in creating stimulating environments in which college students may grow and develop for four years of post-adolescence may not be able to provide the most suitable places for adults to grow and flourish for forty years after attaining adulthood.

Being small in academia often means a lack of social and cultural diversity. Many colleges were established in little towns which are now off the beaten track. For residents of some such locations, one might not be able to find a decent Chinese restaurant within an hour's drive! Sad to say, some people dwell in towns in which the aroma of a freshly baked bagel has never brought joy to the human nostril!

But underlying it all, being small in American academia means having to endure the nagging sense of being in the minors. In our country size confers authority, prestige, legitimacy: the big time! the major leagues! the super bowl!

Nothing illustrates this so well perhaps as the appearance not long ago of something called The Gourman Report, a two volume work purporting to be a guide to the quality of undergraduate and graduate education in the United States and abroad. You may have seen an article about it in the February 15, 1984 issue of The Chronicle of Higher Education. For that matter you may have seen something in your local newspaper because it triggered wide reaction by educators, ranging from skepticism to outrage.

Aside from a highly suspect system of consecutively ranking about a thousand undergraduate institutions, for example, it characterized more than 80 percent of overall academic programs in the country as being no better than "adequate" or "marginal," and of the 16 percent that were "acceptable plus" or better, it reckoned only 3.5 percent as "strong." Four-year liberal arts colleges invariably fell within the merely "adequate" or "marginal" categories, including the country's best--and private colleges generally ranked poorer than publicly supported ones.

The reason is not hard to discover, although Mr. Gourman is rather vague about his methods. All his indicators are utterly and consistently skewed by one crucial factor: size.

The Gourman Report has been labelled a fraud, and no-one I know takes it seriously. Loren Pope, director of the College Placement Bureau, is quoted as calling it a "phony thing" and saying that "anyone who would rank big institutions like Michigan [which ranked very high] over institutions like Swarthmore, Reed, and Carleton Colleges for undergraduate programs simply has no idea what he is doing. For undergraduates, the big universities are a gyp."[8]

The Gourman Report is interesting, however, because what it asserts in print--and ostensibly on the basis of objectivity--is what many Americans apparently assume: bigger means better. It underscores just one more handicap the colleges face in their struggle for survival, and one the colleges can do nothing about.

THE BIAS AGAINST "SMALL" IN ACADEMIC LIBRARIANSHIP

Academic librarianship is by no means immune to this bias. Indeed, one can argue that its effects for us have been both pervasive and pernicious.

The final discontinuation of funds for Title II-A, the federal government's assistance to college libraries, comes to mind as the most obvious expression of a belief that the well-being of the smaller academic libraries is unimportant.

Of much greater consequence to all of us assembled here, however, are the effects of this bias on the assumptions and practices of those of us within the library community. For example, our library schools, as has been pointed out, haven't done a good job of preparing their graduates for reference work and collection development in colleges--as opposed to university libraries,[9] where the function, we can all agree, is different in direct proportion to size and mission, a point on which the speakers in our second theme session concurred.

Then, too, our library literature, dominated by editors and writers associated with the concerns of large institutions, has very little to say about college libraries, a discovery Bill Miller and Stephen Rockwood made when they began to put together their book on college librarianship a few years ago.[10]

Moreover, assistance to the profession by library agencies--such as the management internships sponsored by the Council on Library Resources--almost invariably tilts to the very large institutions. We cannot even justify such a tilt by calling it a "trickle down" approach, since no one seriously thinks that the benefits to university libraries from such programs ever do trickle down to the colleges; there's certainly no evidence that they do.

Furthermore, a single anecdote may suggest how the bias in favor of size can operate within the ACRL's executive office. One of the early and continuing advantages of the ARL to its member-directors, as you know, has been the sharing in a timely fashion of basic comparative management data. For the non-ARL libraries, the cumulated HEGIS statistics--in the days when they appeared at all--tended to be out-of-date and misleading. The ACRL subsequently undertook to collect and distribute date in behalf of the non-ARL members, but not for all dues-paying institutions. Where was the cut-off point drawn? Why, at the line separating institutions that grant doctorates and the rest of us who do not. College library administrators, whose need for up-to-date, accurate, comparable figures was no less pressing, have always had to write back and forth to one another, rely on state cumulations when and where they existed, or join in small data-sharing co-operatives, such as those voluntarily and unofficially organized by Dennis Ribbens of Lawrence and Arthur Monke of Bowdoin.

PROFESSIONALISM

The triumph of professionalism in academic librarianship reenforces the bias. It is possible to construct a continuum of our ACRL membership at one end of which there are those academic librarians who tend to see themselves as professional librarians employed in academia, and at the other, those who tend to regard themselves as academics working in libraries. That is, professional specialists, on one hand, whose first loyalities are to the values of the guild; and on the other, generalists whose professional skills are clearly subordinate to the educational function to which they are committed. By such a continuum, might we not be describing the difference--or at least the different tendency--that characterizes university and college librarians?

The other day I came across an old article by Jerrold Orne (written, I think, to explain why participatory management would not work) in which he described the irresistible process, driven by automation, which was transforming librarians into specialists (especially directors and departmental heads),[11] a trend I think we do see in research libraries. But I contrast this with the actual experience of the college librarian whom one finds the very epitome of the generalist. Charles Maurer recently demonstrated (in an essay called "Close Encounters of Diverse Kinds") that the successful head of the smaller academic library has to be able "to do everything, and to do it at the same time."[12]

In such a library--even with pressing decisions to be made about the judicious application of computer technology (decisions that were not commonplace in 1951) the essential qualities needed by the librarian in a college are still those that Louis Round Wilson enumerated thirty-three years ago as desirable in a research librarian: high intelligence, fine personality, wide educational interests, an understanding of how the library can contribute to the advancement of educational programs, imagination, sound common-sense, intellectual drive, experienced and capable administrative ability, capacity for dynamic leadership, scholarship, an understanding of the spirit and purpose of research, a broad, humanistic outlook on books and all that enriches life.[13] (Not a word about specialization; not a line that smacks of narrow professionalism.)

Compare that list, if you will, with the hallmarks of professional success we recognize in this association: credentials; expertise within fairly circumscribed fields of technical specialization; visibility on committees and councils; authorship of arcane publications; membership on prestigious boards; strings of consultantships--all of which we readily associate with career advancement in the large institutions, and much less frequently in the small.

Visibility in ALA and ACRL committees requires--among other things--assured funding for repeated travel to national professional meetings, something most small college librarians simply don't have--or may not think is a leading priority. Indeed, it is unclear whether the reason we don't see much of the college librarians at ALA meetings is due to their lack of funds, or because college librarians find gratification in their work and are not driven to seek fulfillment in so-called professional growth.[14]

Be that as it may, size (and the professionalism and specialization associated with it) does determine the conventional definition for accomplishment in this business. Take a look at a very recent issue of C&RL, for example, where you will find this assertion confirmed in a study describing the profile of the "successful" librarian and saying that it is highly probable that he or she works in a large academic library, and more than likely an ARL library at that.[15]

Being small in academia--it may be inferred--means being unsuccessful.

The pernicious effects of the bias I have described operate within the very precincts of the smaller institutions themselves, as Evan Farber pointed out in his article, "College Librarians and the University- Librarian Syndrome," a paper in which he discussed the pattern of attitudes which may ultimately cause college faculty, administrators, and even librarians themselves to think of their own libraries in terms of university libraries--and then to imitate university practices, attitudes, and objectives, often with very detrimental results.[16] For faculty and librarians essentially serving undergraduates, the model of library services driven by research, the model articulated by President Olum in the second of our theme sessions (and the model with which college faculty and librarians become familiar during their own graduate school experiences), is an unreliable guide. It is the operation of that syndrome, Farber argued, which largely explains why college faculty display a lack of confidence in their own librarians as colleagues, why they often neglect the importance of insuring that their students are taught how to use the library intelligently and independently, and why administrators are likely to be far more concerned about whether the library's budget is well managed than whether their students are deriving much benefit from it.

Being small in academia, then, does not mean you escape the larger institutional mind-set even when you're miles from the beast.

REFORM AND RENEWAL

For all those reasons, finally, can there be any surprise that the smaller college library often fails to attract and retain the most appropriate personnel? Moreover, life in the minors can foster a set of self-fulfilling, low expectations. I rediscovered this reality during the past year while serving as a consultant to some mid-west colleges searching for head librarians. The opportunities for challenging and highly gratifying career advancement were clearly there; the number of good applicants they attracted was abysmally low. Why? It was as if smaller institutions had simply ceased to be attractive.

If colleges are going to survive, if they're going to prosper, they're going to have to be able to recruit good people for their libraries-- professionals who understand the difference between the function of the research library and the purpose of the teaching library. One of my personal hopes is that the Great Lakes College Association (and perhaps other college consortia) can be persuaded to offer some internships in college library administration, much like those for prospective managers of university libraries offered by the Council on Library Resources--and more recently the residencies developed by the University of Michigan.[17] By so doing we may be able to compensate for the lack of a recognizable career ladder for college library directors and perhaps even counter some of that bias which discourages good people from seriously considering careers in smaller institutions.

That is important because the well-being of our colleges is important. It is so, first of all, because of the contribution to American life they have all along been making. Let me cite but a single statistic, and one whose significance may not be well understood: If one ranks all colleges and universities by the percentage of their baccalaureate graduates who go on to obtain Ph.D's, one finds that seven of the top eleven are independent liberal arts colleges.[18]

But we need not take time to belabor that point. The well-being of colleges may be even more important for what they may yet become.

For with all the talk of the disintegration of American higher education, and the stultification for undergraduates, especially, in large institutions, it is interesting to find so many thoughtful writers turning once again to the smaller institutions as a possible source of reform and renewal for post-secondary education generally. The liberal arts colleges, the argument runs, are less scarred by the student unrest of the late Sixties, less dependent on government, less compromised by research contracts with the private sector, less fragmented, less captive of the false gods of professionalism, more responsive to leadership, more open to innovation, better able to confront ethical questions. The classic conservative exponent of that hope was undoubtedly Russell Kirk, but one finds it too in the work of Alain Touraine, in some of the later work of David Riesman, and in the recommendations of the Carnegie Foundation--with its emphasis on the importance of colleges with a sense of mission, an identity, a separate and discernible character.[19]

And one finds a particularly useful expression of it in Warren Martin's book, A College of Character. Martin defines the essence of character in this sense as "disciplined, evident, enduring commitment to principles, usually to goals and purposes seen as moral or ethical, and expressed institutionally." And it is this kind of institution, he argues, not the multiversity, not the miniversity, not the university, that is best able to set the mark for the kind of leadership necessary for fundamental educational reform.[20]

It is not just an ideal, an abstraction. There are colleges of character, and they do serve as models of reform. I commend to you Thomas Cottle's loving evocation of one such place, a Quaker college where a commitment to interactive teaching and to the examined life--not quantifiable education--provides the power that infuses its campus. At Earlham, he wrote in his book, College--Reward and Betrayal, devotion to students means helping young people to become more flexible in classes, less hostile toward imaginative experiences; it means postponing consulting jobs and delaying research at times in order to leave one's door open, to talk, to comment often and in depth on student papers; to return in the autumn or in a summer preterm session with new plans, recharged enthusiasm, and endless temerity.

Nor is the chemistry that makes Earlham effective that of the teaching faculty alone. It may be, Cottle writes, "the kindness of a librarian" whose concern for students convinces him that a library must be a place for students not only to do research--which he teaches them how to do--but also to browse and nap and dream.

"The man whose task it is to oversee this genuinely spiritual center is a part of the lives of students."[2]

For those of us in this room who are familiar with that particular librarian's efforts to foster close collaboration between teachers and librarians, it was especially interesting to hear Gresham Riley's appreciative statements about the role of the academic librarian in the small college. We know how he came by that understanding, for Evan Farber's work at Earlham has been a source of inspiration to many others throughout the country, and not merely in small institutions, either, as many of you can doubtless attest.

APOTHEOSIS

Is there life this side of the ARL? There certainly is at Earlham. And elsewhere. Hear this testimony from the librarian of a small college located near the very center of this country; it is from a letter I received within the past few weeks.

> *Why do I like being a college librarian? Most importantly, I am aware that my being here has made a real difference for the college. I can see the good things that have happened because of my leadership, I know that they probably would not have taken place if I hadn't had the chance to invest my talents here and in the way I have. Moreover, I know that I am directing the library, not just presiding over it. In short, I have a genuine and a realistic sense of accomplishment.*
>
> *I have had an opportunity to construct a library building that is the envy of all my peers who have seen it. In the process I had a chance to work with, and to become the friend of one of the most exciting client-oriented architects at work today. My position here is not so remotely managerial that I do not get to put a substantial share of my effort into collection building; although I have a full-time acquisitions librarian I hold that--after providing strong leadership and able management--collection building is the library director's primary responsibility, one upon which all else hangs.*
>
> *Our library staff is big enough to do its job, but small enough for me to know every member personally and usually to have some conversation with each person every day. We have been able to recruit and to retrain the ablest library staff I have ever encountered; there is not one weak link in the whole chain; and I will pit them person-for-person against any library staff in the country for ability, commitment, enthusiasm, and energy. I have only to travel sixty miles down the road to the University to see a library staffed by crabby, burned-out librarians, laboring on such a tiny part of the mountain as to have little concept of the whole. They stand in contrast to the eager, highly motivated people who staff our college library and seem to have one hell of a good time doing it.*
>
> *While my job has been demanding, it has not been so absolutely time-consuming that I have been unable to remain active as a working scholar in my academic specialty. Last summer and fall I was able to contribute chapters for two collective volumes as well as continue work on a major book. My spouse and I have a busy social life with a circle of faculty colleagues who are intellectually stimulating and thoroughly cosmopolitan.*
>
> *Nor has my role been confined within the walls of the library. I have served on several faculty/student committees--of which my long time favorite has been Art Acquisitions, the policy-making body for the College's permanent art collection.*
>
> *Finally, in purely material terms, I think the financial rewards of my position have been competitive with those I would have received in a large research library. Probably they have been even greater, if one adjusts my generous salary against the higher cost of living in a major university location.*

"I have friends who are executives in ARL libraries," the letter concludes. "I am not envious of them."

For this librarian, life in the academic minor leagues, one sees, is both more and less than what it's cracked up to be.

MAKING ONE'S CAREER COUNT

I said that I did not have a ringing peroration with which to conclude, and I do not. But since I already have a reputation for bringing you messages engraved on stone, at least you won't be startled if in closing I do that again. This time, at least, I don't have the stone with me. It sits--or at least it did when I saw it many years ago--on the other side of this continent, as part of a monument on the Battery overlooking the harbor of Charleston, South Carolina. It is, as I recall, an unremarkable monument, but somehow its words have stayed with me over the decades. They say:

COUNT THEM HAPPY
WHO FOR THEIR FAITH AND COURAGE
HAVE ENDURED A GREAT FIGHT.

In our time America's colleges are quietly engaged in a great, a momentous struggle. Far more than their own survival is at stake. It is their mission to produce women and men of goodness and wisdom. The nation, the world needs them.

Liberal arts colleges may no longer prevail, but they do endure. In not all of them will their librarians attain the full potential of the role I have described here in an admittedly idealized way. Certainly, that potential is not often enough understood by their own faculty and administrative colleagues, and sometimes not by librarians themselves. For those who do understand, and especially those who bear their part of the struggle in those purposeful "colleges of character," there is special satisfaction that comes of knowing that the investment of their time, their personal talents, their energies, and their professional skills counts for something.

And so they soldier on. The least that their colleagues in the profession at large can do is to give them some understanding, and cheer them on!

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WRAP-UP SESSION

Moderator: Sharon Rogers, President-Elect, ACRL

Panelists: Mary Sue Ferrell, Chair, ACRL Community and Junior College Libraries Section
Jane Ross Moore, Chair, ACRL University Libraries Section
Patricia Oyler, Chair, ACRL College Libraries Section

Keywords and Phrases: Community and Junior College Libraries, College Libraries, University Libraries, Contributed Papers, Research.

INTRODUCTION

Rogers: I would like to welcome all of you to the final session of the Third National Conference of the Association of College and Research Libraries. I am Sharon Rogers and I will moderate this session. There are three purposes for this final session. First of all, we want to provide an opportunity for the leaders of ACRL, representing each type of library, to highlight remarks of the theme speakers. Secondly, we want to provide an occasion for an exchange of impressions among the participants at the conference. You have, of course, done this informally among yourselves; you have reacted to speakers from the floor; but this is the session at which we can speak to each other. So you who are here this morning are part of our program. Finally, we also want to use some time during this session to look forward to the Fourth National Conference in Baltimore, and we want to do this by looking back over past conferences and assessing the use of refereed papers as a form of scholarly communication in academic librarianship.

Our panelists this morning are Mary Sue Ferrell, who is Chair of the Community and Junior College Libraries Section of ACRL. She is also Director of Learning Resources at Western Nevada Community College. Another panelist is Patricia Oyler who is Chair of the College Libraries Section. Pat is Associate Professor at Simmons College, Graduate School of Library and Information Science. Our third panelist is Jane Ross Moore, who is Chair of the University Libraries Section of ACRL and Professor and Chief Librarian at the Graduate School of the City University of New York.

We would like to proceed in the following manner. Each of our panelists will first present their remarks. After all three have spoken it will be your turn to comment either on what they have been talking about, reactions to them, or your own comments and remarks on the themes from the speakers at the conference. Then, in a few minutes at the end of this session, I will present a brief analysis of the contributed papers from one particular perspective. So now I would like to turn the program over to our panelists who will each speak in the order that I have listed their names.

COMMUNITY AND JUNIOR COLLEGE LIBRARIES

Ferrell: Brooke Sheldon made a comment this morning about having podium mania; I think mine is podium phobia. I saw a poster one time that sort of sums up my feelings at this moment; the poster said don't tell me to relax it's only my tension that's holding me together--at times it seems to fit the situation. Throughout this conference, we've had the opportunity to attend five different theme sessions. Each one dealing with myths and realities from a different viewpoint. I thought it appropriate for me to also deal with myths and realities from a wrap-up speaker's viewpoint. The myth was that before this point in time, I would receive a paper filled with keen insights and just the right amount of humor - the reality is that all you've got is me. I would like to take just a few minutes to reflect back on some of the things that we have heard, or perhaps not heard, during the discussions today and to discuss a few of the items that I see from a community college viewpoint.

It struck me as I flipped through the program that out of five theme sessions and nine speakers, that the community college was only clearly represented by one of the speakers, Joe Rushing from Tarrant County Junior College. Out of the thirty-two contributed papers, one was clearly on the community college learning resource center and there was also one alternative format session. I think Bill Moffett noted this morning that the conference had led off with the theme session on the university library and the college library came along as a caboose. Obviously, the community college librarians were out at their fast food chain. I can only speculate on some of the reasons why we seem to have a low profile and I think some of the comments that Bill made also related to community colleges. When discussing with other community college librarians why there isn't more written by community college librarians or why you don't see more of them as speakers, the answer that most frequently comes up is "I'm to busy working to have time to do things like that". I think some of us are very task oriented and that's probably a very valid point. I think another element is that since community colleges are primarily teaching institutions where writing and research is not usually a requirement for tenure, the same motivation does not exist to write and be published. Travel budgets tend to be either very small or nonexistent at most community colleges.

While I have pointed out that community colleges haven't exactly been sign posted at this conference, I don't think it really matters. Good ideas can be applied to any library setting because fundamentally we are all in the same business. I agree with Bill's comments that size has a lot to do with things--the type of library matters less than the size of the library. Being from a small community college, I see more things in common with the small college library than I do with the large university library. At the same time, when I speak to some of my friends who work in community college libraries at institutions with 23,000 students, I think they have more in common with a university of similar size than they do with a community college of 1,000 students.

One point which was not made at this conference and I'm not sure if it's because we take it for granted or because it's something that doesn't come up at a professional meeting, is that in dealing with our problems in a library there is a definite lack of discussion about students. Maybe it's trite to say that the reason we have the jobs we do or the reason libraries exist at institutions of higher learning has to do with students. I know we have discussions on my campus about students tending to be a bit of a nuisance; then we move onto important things like automating the library or revising the faculty senate bylaws--so much for students. It reminds me of a button I saw that said, "I love teaching, it's just students I can't stand". Students are the fundamental reason our institutions exist, and I would like some attention paid to that fact by speakers at future conferences. Community colleges were the first to have large numbers of "re-entering adults" and part-time students (for example, at Western Nevada Community College 79% of our students carry less than 6 credits), but now the four year institutions are seeing the same increase. The increase in part-time students has a real impact when one's institution is funded by a FTE formula, which does not take into account the increasing headcount but declining FTE. The whole nature of the student body has changed and those students have a real impact on the type of service libraries should be providing. It's difficult to provide some of what might be called traditional library service when you're dealing with a student who comes in and says, "just show me what to xerox, I have to get home, I have a family to take care of, I don't have time to stay here and use the library". Students can cause us problems because they tend to be somewhat fickle and a little ornery and a little hard to pin down to the things we want them to do. But if we don't really serve them, then we are missing the boat.

Several of the speakers, Gresham O'Riley, Joe Rushing, and Willie Parson, commented on the myth that the library is the heart of the institution. I feel that that particular myth is held more by people other than librarians. I think we have long been aware that we are not at the heart of the institution, although we would like to be. Maybe that's not quite true, perhaps we are the heart - it's just that heart and money don't necessarily go together. We live in an age where day in and day out finances get tight and things get cut, and we just have to live with those facts. No one wants to critize librarians because it suggests that we aren't vital, but we do get hints sometimes. It was a Snoopy and Woodstock (who is the bird) cartoon awhile ago which summed up my feelings about how others perceive us. The graphic artist at my college re-drew the cartoon and substituted the word "librarians" for the "songbirds". Snoopy and Woodstock are having a discussion on top of the doghouse. In the first panel, Snoopy asks "Why do you think you're useless?" and then he throws open his arms and says, "Actually you are very necessary." He goes on to say "This would be a drab world with librarians. Believe me, you are necessary." In the final panel, Woodstock asks a question (in bird talk, of course) to which Snoopy replies, "No, that doesn't mean you can have more money." Thank you.

COLLEGE LIBRARIES

Oyler: I would like to react to the theme papers from the perspective of the college library and try to highlight those ideas which seem particularly relevant to college libraries. This is not an easy task because college libraries are a very diverse group of institutions with different goals, needs, and resources.

As I listened to the theme papers, there seemed to be several threads that ran through them. All of the speakers indicated that we can expect change and rapid change over the next decade. From the non-librarians, we heard that we must deal with the myth that the library is the heart of the college and that we must become more innovative in meeting the needs of our students and faculty.

Kaye Gapen in her paper identified a number of different changes that will be facing all types of academic libraries if they are to be future responsive. These include organizational changes, changes in the roles and responsibilities of professional librarians, and changes in services and how we will provide them. I feel college libraries can and, in fact, will be forced to meet these changes in new and innovative ways. Because of their size, geographic locations, and financial resources, they are going to have to look toward networking, and frequently multi-type networking, in order to be able to afford to participate in the new technological developments taking place in libraries. I believe college libraries can and will do this and thereby provide their faculties and students with both bibliographical and physical access to larger and more diverse collections and information. I believe college libraries can lead the way with new and innovative approaches in the networking area.

The college librarian has been and will continue to be in an ideal position to come up with innovative ideas and solutions. Often, we are not bound by the constraints of size, specialized staff, and traditional approaches, and we can take advantage of this to implement new services and methods of providing these services on a trial basis or as a pilot project without locking ourselves into one system or approach.

Frances Spigai in her discussion of electronic publishing and data bases also emphasized decentralization and networking as immediate by-products of this technology. But she did point out that it will not be before 1990 that electronic publishing will be a wide spread commodity for ACRL libraries to redistribute. That gives the college libraries some time to examine their role in reviewing, evaluating, acquiring, and installing this new technology, and to come up with new and innovative ways to deal with this rapidly growing area. The costs and diversity of electronic publishing and the wide range of data bases that Ms. Spigai mentioned, also encourages the college library to look for cooperative means to even consider the effective use of such wide ranging and diverse sources of information.

As we look at networking and cooperative programs, we must, however, remember that cooperation takes time, and time is money, and therefore cooperation does have its costs. But we do recognize that the advantages and opportunities of cooperation usually far outweight the costs.

Gresham Riley, President of Colorado College, enumerated some very specific myths that the college library labors under. I am sure that they were not new to most of us, but his presentation did serve to remind us that many faculty members do not view the library as the heart of the campus. He also reminded us that the library should not be thought of as just a place, a structure, a building. We should continue to strive to provide services, functions, and access around the whole campus, in the classrooms, wherever learning takes place.

As a user and faculty member, William Parson of Evergreen State College reiterated these same points, as he called on us to adopt a new paradigm in which there would be a radical shift away from librarians' strict identification with the clients or library users. Although we might not agree with these preceptions of our libraries, we must remember that a person's perception of a situation is their reality. Therefore, these concerns are important to them and we must continue to address them.

William Moffett in his paper identified some of the problems that college librarians and college libraries face because of the size of their institutions. Although the relatively small size of many college libraries can be problematic for some of us, I also feel it can be an asset. Many times we can initiate innovative and creative ways of providing services in our libraries because we are small and therefore not hampered by the rules and regulations that our colleagues in large universities must deal with.

As I read and listened to the theme papers, I also had a number of personal reactions. I felt challenged. Challenged to meet all of the changes of the future. I felt frustrated. Frustrated because these new technologies, new services, new organizational patterns, and new professional roles are going to have to be met without new financial resources and increased staff. I felt supported because the college and university administrators, at least the three we heard, do seem to recognize and support the value and role of the library on our academic campuses. I felt creative as I tried to come up with new and innovative ways to meet the needs of the users in our libraries of the future. But most of all, I felt the challenge of how can I take advantage of all these new ideas, new technologies, new data bases, and new organizational patterns to better serve the students and faculty with the same financial and personnel resources that I have today. That is a challenge, the reality is that we can do it. The challenge is how!

UNIVERSITY LIBRARIES

Moore: What I shall attempt to do is to note the issues raised by the theme papers relating to university libraries and also comment on some points that might have received more attention.

These issues are not unique to university libraries. Indeed, Mary Sue Ferrell and Pat Oyler have already noted this. We are aware of some degree of duplication in our comments and have not tried to eliminate it. Increasingly, the differences between university, college, and community college libraries in so far as these differences are based on type of library are blurring and becoming differences of degree. Sharon will speak further about this later. The way we manage these and other issues, however, will vary by type of library. I remind you of the great degree of diversity of universities and of university libraries and trust that you will keep this in mind as I speak of necessity in somewhat general terms.

The predominating theme was change, the accelerating rate of change, and the need to insure that change will be planned rather than unplanned in our increasingly information oriented high tech/high touch world... that is, a world of new technology with a counter balancing human response.

Kaye Gapen especially addressed the question of what we will do with change in academic libraries and how much of it is myth and how much reality. She noted that while the future is a combination of myth and reality which can only be directly addressed as it arrives, we can practice a very substantial reality in developing ourselves and our organization in order to be future responsive. One way of doing this, as she pointed out, is through change models taking into account such elements as plant, personnel, technology, and financial resources.

Change was a major topic at the Minneapolis conference as well and I have no doubt that we will be considering it further, and yet again, in Baltimore in a few years' time.

Other issues or themes that I heard include consideration of the nature of the library; of the shifting in emphasis from collections to access to collections and access to information; of the development of closer ties to other groups, groups of varying scope and type; and of the role of the librarian. I will touch on each of these briefly.

First, the nature of the library: certainly if any of us have retained a nostalgic fondness for the concept of the library as the heart of the university, we can do so no longer after the panel on Thursday morning. I think that we are quite content with Paul Olum's "repository of the collected wisdom of the ages", and that we recognize, as indeed we have recognized for years, that every university library, even the best and the largest, is going to be necessarily inadequate and increasingly so. Another point that was made and that should be noted here is that by means of technology, library files and services are available now, and will become even more available, away from that physical plant called the library.

This leads to my next theme of the shifting in the degree of emphasis from university library collections per se to access to information and to access to collections. There are two parts to this: the first is access to information and I refer here to Frances Spagai's paper on Thursday afternoon and especially to her description of commercial data bases online and the several scenarios that she presented. I found these immensely interesting and each of our libraries will need to confront the issues raised by these scenarios and to do so in our own way. One of our roles, certainly, will be that of switching agent. The current use of online data bases primarily results in bibliographic citations, with or without abstracts, and the issue of free versus fee, and, if fee, the matter of total or partial cost recovery, continues.

The other part of this theme is access to collections. Knowledge of the holdings of other libraries has become increasingly available through OCLC, RLIN, WLN, etc., as well as through a number of regional data bases. The inter-library loan business is flourishing. The RLG libraries have provision for national access with each other and more and more regional arrangements for access have been and are being developed. University libraries have a major role in these arrangements and need to insure that they are equitable. Before I leave this theme, I remind you of the user panel of yesterday afternoon and the points that were made then about collecting research materials and the organization of these materials for use. Another time, it might be well for such a user panel to include a student, perhaps a doctoral student in one of the fields of the humanities.

My next theme, and it continues from the previous one, is the development of closer ties between university libraries and other groups. I have referred to such groups as RLG and OCLC and there are others on the national level, the Center for Research Libraries for one. What I have in mind here primarily, however, is the multi-type library organization, generally on a regional or local basis, which not only arrange for access as mentioned earlier but also brings together different types of libraries for such activities as coordination of collection development, joint automation projects and other shared uses of technology, and preservation projects. Also, in terms of other groups do not forget, as Kaye Gapen indeed pointed out, the advantages of ever increasingly closer ties with campus computer centers.

My last issue or trend is the changing and developing role of the librarian in the university library. Several papers referred to increasing responsibility and educational requirements with the need for these librarians to participate more actively in research activities. At the same time, we all have had cut-backs in professional staff. More is expected from fewer librarians on the job and yet we are expecting more and more of these librarians in terms of research, publications, and other professional activities. I suggest that attention to what the library faculty should be and should be expected to do is long overdue.

These, then, are the major issues and trends that I have found of interest and concern in terms of university libraries and librarians at this conference and I would like to conclude by noting for your consideration John Naisbitt's comment that "trends, like horses, are easier to ride in the direction they are already going."[1]

Note: The comments from the floor have been eliminated from the published proceedings.

Rogers: I would like to look at the refereed papers that were presented at the national conferences. Of course, in looking at the refereed papers, many different perspectives for commenting on them could have been selected. For instance, we might have choosen to look at citations to previous conference papers. In established disciplines, the substance of conference papers is considered to be at the forefront of the discipline and they are cited regularly in the flow of scholarly communication. Several times at the meetings here in Seattle people have alleged to me that, in fact, conference papers presented at Boston and Minneapolis have not been cited and, therefore, the contributed paper aspect of the conference is not working in the way in which we might have expected. Instead of looking at citations, however, I have chosen to use a framework that focuses on the author's perspective or techniques that are used to create the scholarly product that is shared with professional colleagues. This analysis is only intended to be suggestive. It certainly is not definitive, but it may be used to structure our thinking and planning as we look toward our Fourth National Conference in Baltimore.

The handout (reproduced on the last two pages) provides information about the background of this particular framework and defines the categories of the framework. In the few comments that I'm going to make today I will use the labels in the cells of the framework such as "scientist", "informer", "advocate", "biographer", and so on. On the second page of the handout, you will note that each of these categories has been defined for you and, where possible, examples have been given. These examples are from the 1981 conference papers in Minneapolis.

The first transparency (see Transparency 1) displays the distribution of papers at the conference in Boston in 1978 among these various categories. The perspectives that we chose to use in our refereed papers were, in order of use: "biographer", "advocates," "analyst," "consultant," "informers", and "anthropologist". You will notice also the preference for the humanistic perspective in the viewpoints that we have chosen to use.

The distribution of approaches that appeared in the papers that were selected for presentation at our Second National Conference in Minneapolis are displayed on the next transparency (seeTransparency 2) "Biographer" again ranks as the primary perspective that was preferred. The author as a "biographer" describes a system, often presenting snapshots at some or all stages of its development." The

Transparency 1

1978: New Horizons for Academic Libraries

	Analytic Science	Conceptual Theory	Conceptual Humanism	Particular Humanism
Semantic	Scientist 0	Informer 7	Advocate 11	Biographer 12
Syntactical	Methodologist 1	Definer 0	Analyst 11	Artist 0
Cultural	Reviewer 0	Boundary Agent 1	Consultant 9	Anthrpologist 7
Expressive	Founder 0	Creator 0	Advisor 5	Diarist 0

Transparency 2

1981: Options for the 80's

	Analytic Science	Conceptual Theory	Conceptual Humanism	Particular Humanism
Semantic	Scientist 3	Informer 3	Advocate 5	Biographer 7
Syntactical	Methodologist 0	Definer 0	Analyst 6	Artist 0
Cultural	Reviewer 0	Boundary Agent 1	Consultant 4	Anthrpologist 1
Expressive	Founder 0	Creator 0	Advisor 0	Diarist 0

second category used, "analyst," where the author "discusses issues in their complexity, usually involving some primary research such as a survey instrument and including a discussion of the literature and the background of the problem." The third category used most often in Minneapolis was "advocate". An "advocate" "presents information about an important, and usually, new topic. He or she may also provide some direction that the reader should follow." The fourth highest category is "consultant" who "provides ideas for intervention and to improve the effectiveness of a system" and usually provides examples of applications.

Now let us see what we looked like in 1984. This transparency (see Transparency 3) describes the papers that were accepted for presentation here at the conference. A broader range of categories or perspectives is used in 1984 and there is a shift from a biographical approach to more emphasis on the analyst approach. In the time that we have experiemented with refereed papers as a form of scholarly communication in academic librarianship there has been a shift in the approaches we use.

To give some idea of the range of experimentation that is going on, I will also show you what the distribution of perspectives was on that we rejected for presentation at the 1984 Conference (transparency 4 below). From this evidence, a broad range of experimentation is occuring within the field, although no one has attempted to work from the perspective of a "definer" or a "founder." There are attempts to use methodological approaches that have not been displayed in the papers selected for presentation. Looking at the broader dimensions of the analytical framework, there is an encouraging movement toward experimentation in the areas of "conceptual theory" and "analytic science."

So, in summary, we as professionals have chosen to use a limited range of perspectives in our scholarly inquiry. However, from this examination of the distribution of the 1984 "rejected" papers, it is clear that we are experimenting over almost the entire range of choices of methodology or points of view. We have time between now and when we reconvene in Baltimore to refine the work that we are doing in these experimental areas; we have time to expand our range of activity; and we have time to improve the quality of the work that we are doing in these experimental areas so that some of the work using "conceptual theory" and "analytical science" approaches may be shared with our professional colleagues when we meet again in Baltimore. Fortunately, there is time, not only for our personal resolution to make this kind of scholarly contribution, but also there is time to actually get the research done.

Conclusion

Thank you very much for your participation in this session this morning, and our thanks again to all those who put in so much time and effort in making this a successful conference.

REFERENCES

1. John Naisbitt, Megatrends: Ten New Directions Transforming our Lives. (New York: Warner Books, 1984), p. xxxii.

Transparency 3

1984: Academic Libraries: Myths & Realities
Accepted

	Analytic Science	Conceptual Theory	Conceptual Humanism	Particular Humanism
Semantic	Scientist 1	Informer 2	Advocate 5	Biographer 6
Syntactical	Methodologist 1	Definer 0	Analyst 10	Artist 0
Cultural	Reviewer 2	Boundary Agent 0	Consultant 7	Anthrpologist 2
Expressive	Founder 0	Creator 0	Advisor 5	Diarist 3

Transparency 4

1984: Academic Libraries: Myths & Realities
Rejected

	Analytic Science	Conceptual Theory	Conceptual Humanism	Particular Humanism
Semantic	Scientist 11	Informer 7	Advocate 12	Biographer 11
Syntactical	Methodologist 6	Definer 0	Analyst 27	Artist 1
Cultural	Reviewer 6	Boundary Agent 2	Consultant 5	Anthrpologist 10
Expressive	Founder 0	Creator 16	Advisor 10	Diarist 2

Association of College and Research Libraries

Third National Conference

Academic Libraries: Myths & Realities

Wrap-Up Session April 7, 1984

The First ACRL National Conference in 1978 introduced a new opportunity for scholarly communication among academic librarians. After three sessions with the national conference, it is possible to make a preliminary assessment in the ways in which librarians have attempted to use this new means of exchanging professional information.

The prospectus for this wrap-up session is a conceptual framework for categorizing the production of scholarly inquiry developed by Robert J. Silverman (1982). The Silverman model, briefly, is based upon the interaction of previous works by Mitroff and Kilmann (1978) and Berlyne (1971, 1974) in which a classification of the researchers and their orientations is merged with a schema that is represented in creative products. The conference papers of three ACRL National Conferences were categorized according to the framework outlined below and the examples given in the text are from the 1980 conference.

	Analytic Science	Conceptual Theory	Conceptual Humanism	Particular Humanism
Semantic	Scientist	Informer	Advocate	Biographer
Syntactical	Methodologist	Definer	Analyst	Artist
Cultural	Reviewer	Boundary Agent	Consultant	Anthrpologist
Expressive	Founder	Creator	Advisor	Diarist

-Prepared by Sharon J. Rogers
Robert Pesek

SCIENTISTS (analytic science/semantic). The writer as "scientist" attempts to draw relationships between or among a number of variables. The research is usually original. "ARL Academic Library Leaders of the 1980's: Men and Women of the Executive Suite" by Betty Jo Irvine reviews the variable of sex as it pertains to the positions held in the ARL.

METHODOLOGIST (analytic science/syntactical). The author as "methodologist" develops an analytical model to discuss problems in the field. The emphasis is on original model construction.

REVIEWER (analytic science/culture). The author as "reviewer" establishes the value of the literature and discusses its level of development.

FOUNDER (analytic science/expressive). The author as "founder" of a specific school of thought expands upon the value of the theory or model and extends it into new settings.

* * * * *

INFORMER (conceptual theory/semantic). The author as "informer" transfers a theory from one field to another, changing its focus, if necessary, to fit into the field of librarianship. "Marketing Academic Library Services" by Patricia Senn Breivik discusses the application of marketing techniques borrowed from business to the concerns of libraries.

DEFINER (conceptual theory/syntactical). The author as "definer" reviews an established pattern for thinking about an area using various organizing devices. An exploration, more than an advancement of a position, is presented.

BOUNDARY AGENT (conceptual theory/cultural). The author as "boundary agent" treats existing bodies of knowledge and focuses on their utility for explaining or understanding phenomena in librarianship. "A Critical Nexus: Academic Library Values and Technology" by Thomas T. Surprenant explores the future of libraries.

CREATOR (conceptual theory/expressive). The author as "creator" develops a theory, often grounded in his/her own experience.

* * * * *

ADVOCATE (conceptual humanism/semantic). The author as "advocate" presents information about an important and, usually, new topic. He/she may also provide some direction that the reader should follow. "How Much Research Would a Research Librarian Do If a Research Librarian Could Do Research" by Daniel Traister champions the cause of providing the necessary rewards to librarians to encourage their involvement in research.

ANALYST (conceptual humanism/syntactical). The author as "analyst" discusses issues in their complexity, usually involving some primary research such as a survey instrument and including a discussion of the literature and the background of the problem. "Computer Data Base Use at the Reference Desk" by Gertrude E. Foreman and Celia S. Ellingson is an example of this type.

CONSULTANT (conceptual humanism/cultural). The author as "consultant" provides ideas for intervention to improve the effectiveness of a system. Usually examples of application are included. "Network Design Principles for a National Periodical System" by Robert W. Burns, Jr. describes the major design principles and rationale for a national periodicals system.

ADVISOR (conceptual humanism/expressive). The author as "advisor" shares ways in which he/she has learned to deal with a problem. Emphasis is on the personal experience.

* * * * *

BIOGRAPHER (particular humanism/semantic). The author as "biographer" describes a system, often presenting "snapshots" at some or all stages of its development. "Applying Technology at the Evergreen State College Library, 1970-1980" by Pat Matheny-White, Sarah Pedersen and George Rickerson describes the system in use at one particular college.

ARTIST (particular humanism/syntactical). The author as "artists" writes in an insightful manner to highlight a system and provide an understanding of patterns of activity that may not be very readily visible. The author asks questions in order to discover order in a system.

ANTHROPOLOGIST (particular humanism/cultural). The author as "anthropologist" examines how humans and organizations interact in relationship to an issue. The treatment is one of contextual relationships. "Librarian and Client: Who's in Charge?" by Robert J. Merikangas examines the relationship in terms of power between the librarian and the library-user.

DIARIST (Particular humanism/expressive). The author as "diarist" attempts to probe a system deeply, often in a very personal manner.

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Part II:

ALTERNATIVE FORMAT PAPERS

ALTERNATIVE FORMAT SESSIONS

Papers presented in the Alternative Format Sessions appear in the following order:

1. Community and Junior College Libraries Section Workshop. "Automating the Community College Library: An Opportunity to be Solved"

   Marilyn M. Houseman and Charity Kirkpatrick, Rio Hondo Community College Library

2. "Comprehensive Access to Library Holdings: Integrating Archival Management with Library Networks"

   Moderator: Barbara J. Brown, Research Libraries Group

   Panelists: H. Thomas Hickerson, Cornell University
   Alan Tucker, Research Libraries Group
   Larry Dowler, Harvard University

3. "A House Divided: Public Services Realities in the 1980's"

   Charles R. Martell, California State University
   Patricia K. Swanson, University of Chicago
   Kathleen Gunning, University of Houston
   Phyllis E. Jaynes, Dartmouth College

4. "Public Services in Research Libraries: Today's Realities"

   Moderator: Patricia K. Swanson, Association of Research Libraries, Office of Management Studies

   Panelists: Duane E. Webster, Association of Research Libraries, Office of Management Studies
   Clifford H. Haka, Michigan State University
   Paula T. Kaufman, Columbia University
   Nancy Huling, University of California, Riverside
   Karen S. Seibert, University of North Carolina
   Patricia K. Swanson, Association of Research Libraries, Office of Management Studies

AUTOMATING THE COMMUNITY COLLEGE LIBRARY
AN OPPORTUNITY TO BE SOLVED

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Abstract. "Automating a Community College Library: An Opportunity To Be Solved" was the theme of a presentation organized by the ACRL Community and Junior College Libraries Section. Marilyn Houseman, Director, and Charity Kirkpatrick, Special Projects Librarian, Rio Hondo College Library, Whittier, California, addressed the issue of vendor research, database conversion, MARC format, financing and consortium development for resource sharing for a total online library system.

Keywords and Phrases. Automation, community college libraries, online library systems, Rio Hondo Community College Library.

The Rio Hondo College Library had a unique problem in its antiquated circulation system, which was an IBM punch card machine connected to an input station. The system was very forward thinking when it was installed in the early 1960's as it automatically checked out books to a student using a student number, kept tract of the book, and if the book was not returned on time, produced an overdue notice. Certain statistical records were also produced by the system which were of use in daily library routines. Mechanical difficulties plagued the equipment after twenty years of hard use and the system would not function for days at a time while the maintenance company searched for parts.

Each of the neighboring community colleges in the San Gabriel Valley had manual systems which would always function so long as enough personnel were employed to maintain the paper flow. Due to the funding crisis in the California Community College system even this option was fast becoming a problem, as lay offs depleted the staff. Also due to the financial problems, which became even worse in 1983-84 and a real political issue, even the thought of asking for large sums of capital outlay money for automation was untenable. Because of the urgency of Rio Hondo College Library's problem of malfunctioning equipment, Rio led the way in contacting library software vendors for price quotes and details of their system features, arranging for onsite demonstrations, preparing cost spread sheets and sharing all of the information with the local colleges. Self-education as the keynote of the effort so everyone would understand the new technology and realize the many advantages that could be employed in library service if such a system could be produced.

The administration of Rio Hondo College realized the necessity for the library to have a functioning circulation system of some variety. In the face of budget cuts and the lay off of personnel the college did not have the financial resources for the library to buy the total system. The library had educated the administration to the fact that only a total system, which would take care of all of the housekeeping functions of the library and include an online catalog, would help to solve the staffing problems of the library and provide a means of keeping up with the tedious details of library paperwork.

The Board of Trustees of Rio Hondo College authorized the library staff to prepare a funding proposal for submission to foundations and corporations to ask for help in funding the purchase of the hardware and software necessary to operate a total integrated library system in a consortium effort. The fund raising was begun in the spring of 1983, and as the concept of a two year public institution asking for assistance outside of its regular tax supported base was so new, the immediate response was less than hoped for when the campaign began. The fund raising drive had the sanction of the Chancellor's Office of the California Community Colleges. The major foundation and corporations who are considering offering assistance to the library have not made their final decisions as of this time. The fund raising aspect of the project will be discussed in detail, and participants will gain insight into the funding community and the approach to tax supported institutions requesting help from the private sector.

The most dramatic happening of the year occurred on December 7, 1983 when the IBM circulation system ceased to function. At this time the student body of Rio Hondo College was participating in the tuition debate being discussed at the state level--the issue that was holding the funding picture for the colleges in limbo. In the midst of this turmoil the Senate of the Associated Student Body of Rio Hondo voted to give the library $30,000 for the automation projects in hopes of their support in such difficult times would help attract outside funding.

The many hours required to work on the funding proposal, attend club and organization meetings and do follow-up work on proposals was provided by the regular staff. This work was in addition to their customary duties of operating the library in a year when the overall budget of the library had been cut by 15%.

In the prior budget year, 1982-83, the entire library staff was involved in converting the shelflist to machine readable form. The process was made possible through utilization of the IBM punched card. The IBM card was run to tape, and then, using a standard format within the editor system of the campus Hewlett Packard computer, LCCN and other specific data were added to the record. By early 1983, records of the 80,000 books in the collection were all in machine readable form with the appropriate data. The tape was then sent to a commerical vendor to obtain the expanded MARC record. Additions to the collection, since the database tape was completed, are held on OCLC tapes.

The opportunity to be solved--automating the community college library--will be accomplished within the budget year, 1983-84, and will be reported at the conference.

COMPREHENSIVE ACCESS TO LIBRARY HOLDINGS: INTEGRATING ARCHIVAL MANAGEMENT WITH LIBRARY NETWORKS

ARCHIVAL INFORMATION EXCHANGE: DEVELOPING COMPATIBILITY

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Abstract. For archivists in the 1970's, the growing use of automation suggested opportunities for developing a data base which would provide national access to information describing their archival and manuscript holdings. In response to these concerns, the Society of American Archivists established a National Information Systems Task Force. After reviewing the theoretical and political context, the author describes the work of the Task Force in developing bibliographic standards and a format for the exchange of archival information. Also described are related projects which influenced and supported the development and implementation of the new USMARC Format for Archival and Manuscripts Control.

Keywords and Phrases. Society of American Archivists; Library of Congress; Research Libraries Group; Cornell University; Yale University; Archives; MARC formats; Information storage and retrieval systems--Archives; Library information networks; Machine-readable bibliographic data.

In January 1981, the Council of the Society of American Archivists (SAA) adopted a position paper which committed the Society to the promotion of a national system for archives and manuscript collections. In this position paper the SAA National Information Systems Task Force (NISTF) presented its plan for the development of a national system which would meet the needs for national access to archives and manuscripts, while supporting the special information needs of the various types of repositories of historical documentation. The design of this system would be required to encompass the archival resources of the nation while accommodating the diverse requirements of archival institutions and their clientele. In addition to articulating the aims of the Society and identifying potential benefits of this development, the position paper clearly stated the Task Force's expectation that the envisioned system would consist of one or more data bases, created by a variety of organizations and institutions using common descriptive elements and a standard technical exchange format for data communication.[1] In September, 1982, the Task Force issued two reports, one titled "Data Elements Used in Archives, Manuscripts and Records Repository Information Systems," and the other, "Format for Archives and Manuscript Material." This paper reviews the process of developing these standards and describes their implications for the archival profession and the library community.

ARCHIVAL MANAGEMENT AND LIBRARY SYSTEMS

Initially addressed are the reasons why library systems and protocols have not served as an effective vehicle for facilitating the exchange of archival information. Although archivists and librarians share the same goal of information control and dissemination, the methods appropriate for acquiring, organizing, and cataloging archives and manuscripts are different from the methods used for processing traditional library materials. A manuscript collection may be comprised of a single document, but generally, a collection includes numerous items, perhaps hundreds or even thousands, which are treated as a single bibliographic entity. The establishment of this collective entity is based on provenance. Documents in the collection may have several personal and corporate authors and seldom focus on a single primary topic. In addition to size and intellectual diversity, many collections are also unique in their physical diversity, including, for example, maps, correspondence, account books, and photographs in a single collection. As a result of these physical characteristics, special containers, facilities, and preservation methods are also required.

Beginning at the point of acquisition, most archival holdings are not purchased and are not acquired from standard sources. Generally, manuscript collections are received as gifts from private donors, while organizational, institutional, or governmental records are transferred to an archives, frequently on a scheduled basis. In the case of private donations, an extensive solicitation process may be necessary, and negotiations concerning condition of gift and restrictions on user access may be required. In cases of organizational records, schedules may be established for the periodic transfer of additions to record groups already held by the repository.

While a monograph or serial is generally described and cataloged at a single, predictable point, an archival bibliographic record may describe an unprocessed collection and continue to be updated as the collection passes through stages of processing. Or, collections may be cataloged after already being fully processed and thus are not likely to be updated extensively. Additionally, the level of description may be very brief or highly detailed, relying heavily on extensive narrative description.

There is an essential difference between the collective approach necessary for cataloging of archives and manuscript collections and item cataloging used in other areas of library practice. Unfortunately, the MARC (MAchine-Readable Cataloging) format for manuscripts published in 1973 was prepared without the direct involvement of the Library of Congress (LC) Manuscript Division.[2] As a result, the format was primarily designed for individual item cataloging and poorly suited for archival use. Therefore, this format was not adopted by the Manuscript Division nor the National Union Catalog of Manuscript Collections (NUCMC) and has been used by only a handful of archival repositories. This incompatibility between library individual item cataloging and archival analysis and description was compounded by the publication of the second edition of the Anglo-American Cataloging Rules (AACR 2) in 1978.[3] AACR 2 maintained the individual item approach and only seems appropriate for cataloging literary manuscripts.

While the library community offered archivists few viable standards for information exchange, the archival profession was slow in developing its own standards. The lack of commonly adopted standards was partially due to professional and institutional youth. In the United States, it is largely within the last fifty years that a distinct archival discipline has developed. This development has been accompanied by a substantial increase in the number of archival repositories. Nearly 2,000 more repositories were reported in the National Historical Publications and Records Commission's (NHPRC) *Directory of Archives and Manuscript Repositories*,[4] published in 1978, than in Hamer's *Guide to Archives and Manuscripts in the United States*,[5] published in 1961. Correspondingly, the membership of the Society of American Archivists more than doubled between 1963 and 1975.[6] As a result of this professional and institutional growth, more attention has been devoted to the establishment of new programs than to the cooperative development of standards. Cooperation has also been deterred by fragmentation along lines of division by institutional type, including government, corporate, church, and university repositories. This fragmentation has been intensified by the distinctions made between appropriate methods for processing of archives, the "official" records of organizations, institutions, and governments, and those methods appropriate for processing of manuscript collections, bodies of personal or family materials. Therefore, it was necessary to compile a comprehensive set of data elements, permitting appropriate variations for both archives and manuscripts before a common format could be established.

ARCHIVAL AUTOMATION

This lack of standards, however, did not prevent archival experimentation with automation. The first major effort to use automation in the control of historical documentation was initiated in 1958 in the Manuscript Division of the Library of Congress. The Presidential Papers Section adopted a mechanized approach to the indexing by correspondent of nearly 2,000,000 documents in 23 Presidential collections. The documents were arranged chronologically, and an indexing record was created for each document. Each indexing record was limited to the length of an 80 column punched card and consisted of seven or eight fields of information. The writer/recipient and date fields were sorted for arrangement of entries in published indexes, and the last volume was completed in 1976.[7]

While the punched card format and the 80 character limit proved adequate for producing personal name indexes, the high price of indexing individual documents and limited record length and output formats minimized the applicability of this approach. Therefore, in the mid-1960's, the LC Manuscript Division began the development of two, more sophisticated systems, MRMC (Master Record of Manuscript Collections) and SPINDEX (Selective Permutation INDEXing).

MRMC was developed to provide administrtive control of the holdings of the Manuscript Division. In a modified form this system currently provides administrative control and reference statistics for nearly 10,000 collections. A second version of this system, MRMC II, was developed in the mid-1970's. Master Record II, as it is now called, is used for all current cataloging, producing catalog cards and a cumulative index to the Division's holdings.[8]

In 1966, the LC Manuscript Division also designed the first version of SPINDEX, a software package initially based on the KWIC (keyword in context) approach to indexing. The capabilities of the original SPINDEX system were severely limited, and LC decided not to develop it further. However, the National Archives and Records Service (NARS) decided to continue SPINDEX development. With financial assistance from the Council on Library Resources, Inc., and the cooperation of nine other archival institutions, NARS began a project to improve SPINDEX in October 1967.[9]

Although numerous automated systems were used by archivists during the 1970's, the most widely used was SPINDEX. This software has been used by municipal, state, national, church, university and corporate archives in the United States and Canada. It was among the initial users of SPINDEX that the first serious discussions of development of an automated national data base took place, and, in 1975, the National Historical Publications and Records Commission chose to use SPINDEX when they began to develop a machine-readable data base of information on archives and manuscript repositories in the United States.[10]

NATIONAL INFORMATION SYSTEMS

Initially, the NHPRC data base contained only general repository descriptions, which served as a basis for their *Directory of Archives and Manuscript Repositories* (1978). In 1976, the staff of the NHPRC decided to expand their data base concept to include bibliographic information regarding archives and manuscript collections. This decision led to the initiation of several NHPRC-funded projects to gather and contribute data to the NHPRC data base. At that point in time, the largest data base of archival information was the *National Union Catalog of Manuscript Collections*, which included about 42,000 manuscript collections held by some 1,000 repositories. However, NUCMC was not, and is not currently, in machine-readable form and is comprised of multiple volumes with multiple indexes. Also, NUCMC only includes manuscript collections, excluding governmental, organizational, and institutional archives. The NHPRC was proposing a comprehensive approach, including the holdings of repositories of all types. When in 1977, the NHPRC requested that the Council of the Society of American Archivists (SAA) endorse their effort, two of the major concerns raised were:

(1) this request seemed to conflict with the profession's traditional support of the *National Union Catalog of Manuscript Collections*, and

(2) the NHPRC implementation was tied to the use of the specific software package, SPINDEX.

These concerns are illustrative of the, then, prevalent thinking regarding a national data base:

(1) that there would be one, single national system, and

(2) that it would be tied to the use of specific computer software.

SAA Council responded by directing the formation of a National Information Systems Task Force to examine current national programs for the development of a national information system.[11] Council had sought a way out of its immediate dilemma by authorizing a comparative evaluation, hoping to be provided with a technical answer to a political question. The Task Force, chaired by Richard Lytle of the Smithsonian Institution, avoided this initial choice between two highly charged options by broadening its focus from the consideration of "current national programs" to an exploration of the construction of the best feasible national information system for archives and manuscript collections. The Task Force did at that point, however, consider its role to be that of recommending a single best system.

The belief that a single most effective system for bibliographic control of archives and manuscripts could be selected or designed was based on two assumptions:

(1) that technical criteria for computer information and retrieval systems could be developed in order to evaluate the effectiveness of particular systems for management of archives and manuscript holdings, and

(2) that archives and manuscript collections were sufficiently similar to be well served by the same system.

Initially, the second assumption had the most doubters, and, since the adoption of common standards for bibliographic description for both archives and manuscript collections was fundamental to Task Force planning, a study of current practices was commissioned.

With support from the National Endowment for the Humanities (NEH), a study of description practices in a broad variety of repositories was conducted during the summer of 1980 by Elaine Engst of Cornell University. Finding aids for control of holdings at various levels as well as processing guidelines were solicited from representative repositories. Finding aids included accession forms, catalog cards, box, folder and item lists, indexes, inventories and registers, and published guides. In addition, information was used from NUCMC, the NHPRC Historical Records Inventory, OCLC (Online Computer Library Center), published repository guides, national subject surveys of documentary material, SAA manuals, and reports of earlier studies. The material was analyzed, and a comprehensive list of data elements was compiled. Based on this study, a report, "Standard Elements for the Description of Archives and Manuscript Collections," was submitted to the Task Force in September 1980. The report clearly indicated that there are common methods of archival description which could be integrated into a broadly applicable set of standards.[12]

Ms. Engst concluded that repositories have similar needs and responsibilities to provide physical and intellectual control of and access to their holdings and that commonly accepted methods of archival description are used to carry out these functions. She found that repositories, as varied as the Library of Congress Manuscript Division, Smithsonian Institution Archives, Salvation Army Archives, The Historical Department of the Church of Jesus Christ of Latter-Day Saints, American Antiquarian Society, and the Folger Shakespeare Library, use, with few variations, the same basic description elements. Therefore, it seemed that a standard bibliographic format encompassing the needs of both archives and manuscript repositories could be developed.

These findings suggested that the Task Force was correct in its effort to establish a single set of technical criteria with which existing and future automated systems could be evaluated and compared. However, this report actually represented a turning point away from concerns with the development of technical criteria for automated systems and with the comparative evaluation of specific software packages or bibliographic systems.

This detailed examination of existing practice made it evident that the basic role of the Society was to develop and maintain professional standards which would make feasible the inter-institutional exchange of information, not to build or operate an information system. The Task Force realized that it was not realistic to assume that the sharing of information would be supported by end users (usually identified as historical researchers, or the federal government on their behalf). It was increasingly apparent that repositories would develop inter-institutional, regional, or national information sharing mechanisms when, and only when, it was important in carrying out their existing responsibilities in an enhanced or more cost-effective manner. It was also evident that in spite of the use of common methods and informational elements by repositories, their efforts to develop viable information sharing mechanisms were being obstructed by the lack of a common nomenclature with which to record information and a common vehicle with which to exchange information. Therefore, processes for the development of a data element dictionary and of an exchange format were initiated.

In its effort to prepare a data element dictionary and an exchange format, NISTF adopted a strategy which it hoped would meet the widest possible range of archival needs and would also support the widest possible adoption of these standards. With continued support from the National Endowment for the Humanities, NISTF established a Working Group which included representatives of the National Archives and Records Service, the Library of Congress, the Research Libraries Group, and the institutions participating in the NHPRC Data Base.[13] It was supposed that if a format was sufficiently inclusive to meet the concerns of the broad range of archival programs represented by this group, it might well meet almost all archival needs. It was also conceived that a format which was approved for exchange purposes by all members of this group might have a strong chance of widespread professional adoption.

A draft of the data element dictionary prepared by the Working Group was issued for professional review in February 1982. This dictionary is a list of specific types of information, each uniquely defined. The list is intended to provide standard definitions for all information elements employed in any and all archives, record centers, and manuscript repositories. Although most of these elements were quite familiar to archivists, the importance of listing and defining them was twofold:

(1) While the study performed by Elaine Engst clearly indicated the use of common description methods and elements, terminology did vary. Since in either manual or machine-readable exchanges, it is essential to the effective sharing of information that the participating repositories use data elements, such as "title" or "inclusive dates," in the same manner, standard definitions must be used.

(2) In order to design a format for exchange in machine-readable form, data fields must be designated in which to record all information elements currently used in archival management.

Therefore, the review process was an attempt to refine definitions and to add any additional elements currently in use. In addition to a wide distribution of the draft document by mail, NISTF Project Director David Bearman attended numerous regional archival meetings and the meeting of the Association of Canadian Archivists in order to explain and encourage response to the report. Many additions and revisions were made before a final report from the Working Group was adopted. However, the process of revision is not over; it is inevitable that, as the nature of recorded information, archival management techniques, and user needs change, additional elements for effective archival administration will be needed.

The creation of a comprehensive data element dictionary was essential to the development of a format for the exchange of archival information. An initial draft of this format was distributed for review on February 25, 1982. In designing the format, there were several major considerations. It was essential that the format contain designated fields for all data elements required for archival management, including administrative data as well as bibliographic information. Although creating a standard suited to manual as well as automated exchange of information, it was important that the format conform to appropriate international and national standards for exchange of bibliographic information in machine-readable form. Since the International Standards Organization standard ISO-2709 and the American National Standards Institute standard ANSI-Z39.2 provide only general criteria, the functional design of the format was an open question. It was possible for NISTF to either design a wholly new format or to adapt an existing format to meet archival management requirements.[14]

MARC FORMAT DEVELOPMENT

The most common implementations of the ANSI standard are the MARC formats. The MARC format for manuscripts published by LC in 1973 had been widely repudiated by archivists. It was clear that the inadequacies of the 1973 format did not result from inherent deficiencies in the MARC structure but rather from the intellectual approach used in defining the fields and their contents. However, it was also clear that wholesale revision would be required to make the existing MARC format for manuscripts a viable tool for archival use. Fortunately, in early 1981, LC indicated that they were willing to make substantial revisions and to allow SAA to conduct the revision process.

The potential advantages to archivists of developing an SAA exchange format for archives and manuscript materials which was also a MARC format were numerous. The format development process was facilitated by having an existing structure within which to work. The adoption of a MARC format makes feasible the integration of information concerning archives and manuscripts with the data bases of the national bibliographic networks and also with regional and local library data bases. The range of software and vendor services designed to process information in a MARC format is considerable, and future development will further broaden the available options. These benefits and other political and system development advantages which would result from the adoption of a widely recognized standard were apparent, but it was essential that the new format incorporate a collection approach to cataloging and include the broad range of administrative data necessary to the management of archives, manuscript repositories, and records centers.

Format development and review was a complex process influenced by a variety of political, technical, and economic considerations. However, the new MARC format does, indeed, embody the collection approach to cataloging and includes all data elements listed in the dictionary. The Task Force did decide to retain those fields which allow the format to be used for single item cataloging. Also solicited were the views of the Standards Committee of the American Library Association Division on Rare Books and Manuscripts, which resulted in the addition of fields particularly appropriate for the cataloging of publications handwritten before the advent of printing. Additionally, specific fields were retained which were essential to the processing requirements of existing bibliographic systems. These inclusions broadened the acceptability and usability of the format, which was consistent with the Task Force's attempt to meet the needs of all types of repositories. It is also consistent with the diverse nature of archival holdings, making it possible for repositories to describe within a single format all the various types of archives and manuscript material that they hold.

The data element dictionary and the format were accepted by SAA Council in the fall of 1982, and the format was approved by the American Library Association Committee on the Representation in Machine-Readable Form of Bibliographic Information (MARBI) at its January 1983 meeting. NISTF was disbanded in the spring of 1983, but SAA Council has established a Standing Committee on Archival Information Exchange to serve as a mechanism for continuing review. A contractual agreement has been established between SAA and LC requiring that any subsequent revisions to this MARC format must be approved by both the SAA Standing Committee on Archival Information Exchange and the Library of Congress.

AACR 2 REVISION

During the two years in which the development of the data element dictionary and the format took place, two closely related projects were being carried out. These efforts each stimulated, influenced, and made possible the effective completion of the others. One of these was the revision of Chapter IV (Manuscripts) of AACR 2. Sponsored by NEH, the Library of Congress, in conjunction with the Council of National Library and Information Associations, initiated the preparation of a series of manuals to treat special format materials that were not adequately covered in AACR 2. Steven Hensen, Senior Manuscript Cataloger in the LC Manuscript Division, was appointed principal compiler for the archival cataloging manual. After extensive professional review, this manual, *Archives, Personal Papers, and Manuscripts: A Cataloging Manual for Archival Repositories, Historical Societies, and Manuscript Libraries*, was published in 1983. Although retaining the basic principles outlined in AACR 2, this manual does make significant departures. Of primary importance is the emphasis placed on the cataloging of collections of personal papers and corporate and governmental archives, rather than single items. Also significant is the change in the prescribed sources of information. The chief source of information is identified as the archival finding aid prepared for the materials, rather than the materials themselves. Additionally, the original text has been modified and expanded to provide more specific interpretations, more archivally-oriented definitions, and more examples, with the goal of assisting catalogers who may be more familiar with conventional methods for processing manuscripts than they are with the techniques and terminology for cataloging published materials.[15]

RLIN ENHANCEMENT

Also of major importance in determining the progress of the format development process was a project initiated by Lawrence Dowler at Yale University. With funding from the United States Office of Education's Title II-C (Research Libraries) Program, Yale began a project in January 1981, a primary goal of which was the development of a functional requirements statement for enhancements to the Research Libraries Information Network (RLIN) designed for the machine-readable cataloging of archives and manuscripts. In order to assist the Yale staff in this effort, the Research Libraries Group, Inc. (RLG) formed a Task Force on Special Formats. This Task Force, chaired by Barbara Brown of RLG and supported by funds from the National Endowment for the Humanities, included archivists from a broad range of institutions, in order that the system design might meet the needs of a wide range of repositories. The functional requirements report was completed in February 1982, and initial design work was begun by RLG staff in the fall of 1982.

With the awarding of additional Office of Education, Title II-C funds ($400,000 for 1983 and $425,000 for 1984), a joint project of Yale, Cornell, and Stanford University Libraries, the Hoover Institution, and RLG began in January 1983. The primary goals of the project have been:

(1) the design, development, and implementation of enhancements to RLIN to facilitate the accessioning, cataloging, and management of manuscript and archival holdings;

(2) the cooperative development of cataloging procedures, conventions, and standards based on the new MARC Format for Archival and Manuscripts Control and compatible with the RLIN technical processing system and the integrated data base;

(3) compilation of bibliographic information and comprehensive cataloging of the holdings of participating institutions.[16]

Training and actual system use began in late January 1984, and some 200 records had been entered by mid-February.

FORMAT IMPLEMENTATION

Of particular significance in designing the RLIN enhancements was the attempt to provide functions for the effective processing of management data recorded in the new format. This explicit inclusion of management information, as well as bibliographic data, is an important characteristic in determining the viability of the new format. Denied the financial benefits inherent in the shared cataloging capabilities of library networks, it was apparent to NISTF members that the capacity to carry vital management data, was a crucial element in determining the acceptability of any exchange format. It seems that this goal has been met.

In addition to the initial implementation of the format by the Title II-C Project libraries, formal requests to begin using the enhancements have been made by several other RLG repositories, including Brown, Rutgers, Johns Hopkins Universities, and the New-York Historical Society. To facilitate the growth of system use, an RLG Archives and Manuscripts Task Force, chaired by H. Thomas Hickerson of Cornell University, was established in July 1983. In order to augment the RLIN data base, this Task Force is currently developing means for integrating NUCMC bibliographic data. An effort by Cornell University and RLG to develop a method for converting SPINDEX data to RLIN has also been initiated. In addition to RLG implementation, a variety of other repositories have begun format use, including the Historical Department of the Church of Jesus Christ of Latter-Day Saints, the Center for the History of Physics, the Smithsonian Institution, the State Historical Society of Wisconsin, and the Chicago Historical Society. OCLC has also indicated its intention to implement the new format.

The development and adoption of the USMARC Format for Archival and Manuscripts Control will have a major impact on the management and use of archival information. Archival repositories will be able to develop integrated systems, supporting a variety of basic functions. Archives and libraries will be able to share existing automation facilities and benefit from future developments. Libraries will be able to provide comprehensive access to their holdings. And, perhaps most dramatically, users of historical documentation will be provided expanded access to the nation's archival and manuscript resources.

ACKNOWLEDGEMENTS

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THE RLIN IMPLEMENTATION OF THE MARC ARCHIVES AND MANUSCRIPT CONTROL FORMAT

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Abstract. The RLIN implementation of the new MARC archives and manuscripts format is based on functional requirements prepared by archivists and manuscript curators. The author reviews the issues and goals of the design process and describes in detail how RLIN supports the description and management of archival and manuscript materials.

Keywords and Phrases: Research Libraries Group; Research Libraries Information Network (RLIN); MARC formats; archives and manuscript control format.

INTRODUCTION

Tom Hickerson's paper deals, in part, with the history behind the developments -- both of format and of RLIN enhancements -- I wish to describe. I intend to focus instead on a number of aspects of the present and future capacity of RLIN to support the description and management of archival and manuscript materials. First, there is the context in which the work of the last two-and-a-half years has taken place: where, in the RLIN scheme of things, does archival control fit, and what demands or constraints do the peculiarities of archival practice make on the builders of automated systems? (Incidentally, a note on terminology: I will be using the word "archival" to encompass the work of various kinds of repositories, including archives and manuscript collections, as a global designation for those institutions which process collections of personal and corporate papers according to archival principles.)

Second, though not readily separable from the previous point, is the extent to which professional archivists and manuscript curators participated in the design of the new Archival Control format and in the design and implementation of RLIN developments. The significance of this involvement may not be completely evident to a largely library-oriented audience, yet this is an important factor in the -- at least, conceptual -- acceptance of these developments by the archival community.

Third, in a single word: integration. How does unique source material fit into the already somewhat heterogeneous family of RLIN databases?

Fourth, what does the RLIN archival control system (or, to be more precise, the enhancement to RLIN's Integrated Technical Processing System) do?

And finally, where do we go from here? What developments are still in the works? What aspects of archival control have not yet been demonstrated using RLIN? Is there a national database of primary source material around the corner?

DESIGN ISSUES AND GOALS

RLIN today, as many of you know, is principally an integrated system supporting acquisitions, cataloging, reference searching and inter-library loan activities. All published MARC formats -- including Authorities -- are represented in a database which now contains more than 14 million records. While the system is sensitive to format-specific details, providing additional indexes and modified displays as necessary, the basic processing features are the same for all MARC formats; the ability to have a search in one file -- say, Books -- carry over into one or more of the other format-based files is one indicator of this fundamental integration. Another such indicator is the inclusion in these files of records containing vernacular Chinese, Japanese and Korean data, accessible to the entire RLIN network by means of romanized indexes (and with romanized displays), and by means of additional vernacular indexes (with vernacular displays) to RLIN users having RLG CJK terminals.

There are, however, elements of RLIN which stand apart from the main database and are accessed by different "processing engines." These are our Special Databases, a number of files which, because of the type of data included -- such as the Avery Index to Art and Architecture -- or because of special processing requirements or access restrictions -- such as the Eighteenth Century Short-Title Catalogue -- are handled separately and are, in fact, built using a considerably different architecture from that which underpins "mainline" RLIN.

My point in drawing these distinctions is to underscore the fact that there is, within RLIN, more than one way to skin any particular data processing cat. The problem sometimes lies in deciding, at any given time, just what sort of cat one is dealing with. As RLG staff worked with archivists and manuscript curators, two things became clear very early on: first, if RLIN was to support virtually the full range of archival processing needs, then the data requirements would go considerably beyond those represented by any other MARC format; and, second, the sensitivity of certain data necessary for archival processing, the need to have it available yet protected from unauthorized eyes, seemed likely to conflict with the basic RLIN ITPS philosophy regarding the display of information, while at the same time being almost certainly non-negotiable.

The "philosophical" problem is easily stated: those fields in a bibliographic record which are defined in USMARC -- as opposed to those which have been defined within RLIN for local purposes, such as holdings or acquisitions data -- always display on the relevant screen formats, whether the viewer is the "owner" of the record or not. Thus, on the fully tagged display of a MARC record, all data in the range of tags from 001 to 899 is displayed to any user of that record. The new fields under consideration for archival control were destined to become part of the official format.

Prior to the implementation of the enhancements I'm now describing, RLIN had -- within the Integrated Technical Processing System -- two methods of "localizing" data. One was record segmentation, the division of an RLIN record -- that is, specifically, a record in the RLIN online system, as distinct from any format used for the communication or exchange of data -- into segments each of which might be amenable to different display rules, and over each of which the creator of the record might exercise some degree of display permission. The other is the distinction between what we call "general" and "local" indexes, where general indexes -- such as personal name, or title word -- allow a searcher to retrieve any records in the database satisfying the particular search argument, while local indexes -- such as, in the Archival Control file, donor name -- retrieve only records created by the searcher's institution.

Given these apparent conflicts, and given the quaint fact that approval and publication of the new Archival and Manuscipts Control Format was running significantly behind the rapidly moving RLG archival control juggernaut, it might have seemed that RLIN ITPS was less than thoroughly compatible with the emerging requirements. But there was another factor to be considered, and since I am not providing a history and therefore do not feel bound by the chains of linear chronology, I should add that this question was resolved long before details of record structure and display permits had to be faced. That factor was integration.

My view of integration in the RLIN context is essentially this: as a researcher I would like to be able to enter a search such as "find personal name gertrude stein" and retrieve her published works, critical and biographical studies of stein, a recording of stein reading her own work and another of a performance of "Four Saints in Three Acts", her personal papers, and a pointer to Picasso's portrait of her. Before January of this year I could retrieve the first four; as of January -- in theory at least -- the fifth became accessible; and tomorrow (relatively speaking) the last will also appear.

Given this perspective, given the realization that access to primary source material -- however important in itself -- was enhanced when coupled with access to the more traditional holdings of libraries, and given the value of that integrated access to the furtherance of RLG's programmatic objectives, we were able to move readily toward an understanding of how the existing capabilities of RLIN ITPS satisfied many of the requirements of archival processing, and toward solutions to the detailed technical problems that were still outstanding.

Though archivists and librarians seem frequently to be -- like the British and Americans -- "two peoples separated by a common language," their approaches to the intellectual description of the materials they hold are not so different as received wisdom would have it, particularly when the analyst manages at last to work through the maze of conflicting or divergent terminology. The basic descriptive elements are there: what is this "stuff" I'm describing? What person or organization is responsible for its existence? What is its physical description? What's it about? What other people or organizations have some relationship with it? And so on. The archivist expands on this, of course, in ways that a cataloger dealing with modern academic publications never would. An intriguing -- to me -- example of this expansion is the biographical and historical essays (the word does not seem inappropriate) which one can now read on an RLIN terminal, rather a change from the dry recital of author/title/imprint/collation which constitutes the vast majority of data in any online bibliographic system.

The real differences appear when we begin to look at how material is handled. When a cataloger creates an RLIN record for a newly-acquired book, that's usually the end of the story. The record might, at some future date, be updated, perhaps to reflect a transfer from one location to another, or because of added copy or added volume work; but the basic content of the record is usually fixed at birth. Not so with records for archival materials, since the processing of such materials -- the progressive achivement of greater degrees of both physical and intellectual control -- tends to take place interactively, over relatively long periods of time. As with the history of these developments, I can defer to Tom Hickerson's paper for a discussion of the detailed differences between library and archival methods. What is of concern in the design of a system, however, is the extent to which these differences can be accommodated without imposing hardships on the users of that system, and in a way that reflects the users' own perception of their work. We will see momentarily how RLG approached that problem.

Before that, however, a digression of sorts seems in order. It's not for me to say that the archival community does not have shared standards of descriptive practice in the way that the library community -- or at least a large portion of it -- jointly subscribes to AACR2, LC and/or Dewey classification, LCSH and so forth. It's not for me to say, but it's true nonetheless. One of the most important reasons for standards is to make communication possible, whether by the primitive (if long-established and highly effective) medium of LC's card distribution system, or the somewhat less primitive medium of MARC record exchange. The same historical factors which explain the emergence of those library-oriented standards and the means of their communication also explain the absence of a similar level of standardization among archivists. The repetitive cataloging of thousands of copies of the same item in thousands of institutions generated needs and solutions which have none of the same impact in an environment in which virtually all the materials being described are unique.

And then integration comes along, and the rules of the game aren't quite the same any more. If records for archival materials are to be included in the main RLIN database and if they are to be retrievable by the same searches that retrieve books and serials, maps and sound recordings, then they have to be created in accordance with the same rules or standards that apply to the other files. To this end, the RLG Archives and Manuscripts Task Force agreed to use the LC Name Authority file as a primary source for headings, to establish new headings in AACR2 form, and to supply at least one LC Subject Heading whenever topical subject headings are entered in a record. And, of course, they adopted a new set of cataloging rules. Plus ca change...? Not this time, I think.

THE RLIN IMPLEMENTATION OF AMC

In many ways, the critical element in the new Archival and Manuscript Control format (AMC for short) is the "C" -- the control aspect which not only defines the function of the format but also highlights some of the unique features of RLIN's AMC implementation. The new format, unlike the other members of the family of MARC bibliographic formats, is not material-specific, by design. While the stock-in-trade of archives and manuscript repositories is predominantly paper, collections of papers frequently contain other things: photographs; dictaphone tapes; floppy disks; cans of motion picture film; autographed baseballs. Archival practice treats this apparent hodge-podge as a collection; indeed, much of the value of those disparate items resides in their belonging to that collection.

The new format allows the description of such collections, and also of components of collections. By using linked groups of records, or within a single RLIN record, materials can be described at any of the levels of arrangement common to archival practice, from the collection or record group all the way down to the individual letter -- or baseball. And it allows the archivist to control the material at any and all those levels, recording information about how material was acquired, what has been -- or has to be -- done to it, how those actions are carried out and by whose authorization, what rate of growth is expected for a particular series of papers, what papers are scheduled for microfilming or deacidifcation or a date with the shredder, and where that elusive baseball is stored. And because this information is carried within the MARC format, it is easily communicated in a standard way, if not with the world at large (by choice), then with the institution which created it and wants to transfer a record from RLIN or OCLC back to its in-house processing system.

I have already mentioned that the processing life-cycle of archival materials tends to be both interactive and, in many cases, protracted. Commonly, material is "accessioned", that is, taken into physical custody, and put away; returned to later for preliminary arrangement, and put away; returned to again for further arrangement and description, and put away; referred to in legal correspondence having to do with ownership, or restrictions on access or use; completely described, with a full complement of indexes and finding aids; then returned to years later when a changing focus of research causes the archivist to look at it from a different perspective and revise or augment its description and indexing.

In the RLIN context, and again by agreement within the Task Force, a minimal standard for data entry was established in order to encourage archivists to create an RLIN record for material at the earliest possible stage in the processing life-cycle, going back to that record and updating it at each subsequent stage of processing. The RLIN system thus immediately becomes a surrogate for the traditional Accession File; through later stages of processing, it also takes the place of numerous other paper files in which a considerable amount of data is redundantly recorded in order to make it accessible in various sequences, by different keys. The simplicity of updating a single record is preferable to updating a whole set of inter-related manual files; the non-redundant representation of all the data about a collection in one online record, and the retrievability of that record by more than two dozen indexes, makes it possible for the archivist to consider doing away with a number of paper files; the archivist's ability to protect information from view -- which RLIN provides -- makes this all feasible.

Let us, then, see how it works. Unfortunately, we can't provide a live demonstration here, but with a few transparencies we should be able to get a picture of the kind of data one finds in the AMC file, and of how that file is used in the management of archival materials.

Slide 1

```
Collier, John, 1884-1968.
  Papers, 1920-1966.
  80 linear ft. (170 boxes, 1 folio).

  RSN: THIS IS A DEMONSTRATION RECORD
  ID: CRLGLFG4-A                  CC: 9554      DCF:          PROC: b
- - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - -
RGPN MSGR 146

 PCID 1
   ACCN 84-134M  ACCD 01/09/84
   PLOC Room 55A
   Accessioned 01/09/84
   Acknowledged 01/17/84
   Cataloged 11/15/85
   Microfilming to be done 02/--/86

 PCID 2    MATL Personal correspondence
   ACCD 01/09/84
   PLOC Stack A, Range 5, Shelf 22-23
   Arranged 12/20/84

 PCID 3    MATL Restricted addition
   ACCN 86-123  ACCD 05/30/86
   PLOC Vault
   Restriction review to be done 05/30/87
```

This is a brief display format showing a record for a completely processed collection -- the papers of John Collier -- as it would appear to the institution that created the record. It presents a very brief bibliographic description, and then a summary of the processing activity that has been, or needs to be, carried out on the collection. There is a great deal of additional data buried in this record; let's go back to square 1 -- the arrival of the Collier papers at our repository -- and see what happens to this record over time.

Slide 2

```
ID:CRLG84-A214      RTYP:d    ST:d          NLR:        MS:  EL:  AD:02-29-84
CC:9554  BLT:bc      DCF:    CSC:?   MOD:?  PROC:e                UD:02-29-84
PP:ctu     L:eng      PC:i    PD:1920/1966   REP:?
040      CtY‡cCtY‡eappm
100 1    Collier, John,‡d1884-1968.
245 00   ‡kPapers.‡f1920-1966.
300      75 linear ft.‡f(50 cartons).
```

This is the RLIN equivalent of the accession record. The data entered here in a pre-formatted screen is just about the minimum amount that is consistent both with the RLG standard for AMC records and, not by chance, with what the archivist is likely to know about the material at this early stage of processing: in addition to some fixed-field information at the top of the screen (without which RLIN will reject the record) we can enter the creator of the papers -- John Collier; name of the collection, with the inclusive dates of the papers; and an indication of the extent of the material. Moving over to the Archival Control segment,

Slide 3

```
RGPN
PCID 1       PCDP Y               PST D                   PSTD
ACCN 84-135M                     ACCD 01/09/34
SRCE Collier, John
ADDR 179 Washington St., Haversham
MTHD Gift
PLOC Room 55A

ACID 1        ADP Y
ACT  Accessioned
   TAC 01/09/84
```

we enter information about the source of the material, and we also formally note this first action that we've carried out -- accessioning. Data in the Source field is indexed in the Donor index, a Local index as I mentioned earlier, and therefore inaccessible to anyone outside my repository -- it's a fairly safe bet that I don't want people I don't know rummaging around in my Donor File, and the same is true for many I DO know!

The Action we've recorded will be used by the RLIN Reports System to generate various listings and management reports; I'll describe those a bit later.

Slide 4

```
RGPN
PCID 1       PCDP Y               PST D                   PSTD
ACCN 84-135M                     ACCD 01/09/84
SRCE Collier, John
ADDR 179 Washington St., Haversham
MTHD Gift
PLOC Room 55A

ACID 1        ADP Y
ACT  Accessioned
   TAC 01/09/84

ACID 2        ADP N
ACT  Acknowledged
   TAC 01/17/84
  METH Certified letter
   AGT President Marshall's Office
```

Some time after receiving the Collier papers we get around to acknowledging the gift; in this case, in fact, we have arranged for the acknowledgement to come from a loftier source than merely the office of the archivist. We update the record, adding another Action segment and indicating the details of the acknowledgement process. We also consider that this information is not relevant to the public's use of this record, so we set the display permit for this particular action to "No". This has no effect on my own view of this record -- I cannot prevent the display of information to myself -- but as we shall see at the end of this walk-through, another user will not be shown that statement of acknowledgement.

Slide 5

```
ID:CRLGLFG2-A     RTYP:d    ST:d          NLR:       MS:  EL:  AD:12-20-83
CC:9554  BLT:bc     DCF:     CSC:?   MOD:?  PROC:p                UD:01-24-84
PP:ctu     L:eng      PC:i     PD:1920/1966   REP:?
040      CtY‡cCtY‡eappm
100 1    Collier, John,‡d1884-1968.
245 00   ‡kPapers,‡f1920-1966.
300      ‡3Personal correspondence:‡a20 linear ft.‡f(45 boxes).
300      ‡3Unprocessed remainder:‡a50 linear ft.‡f(32 cartons).
351      ‡3Personal correspondence (incoming):‡bAlphabetically by writer.
351      ‡3Personal correspondence (outgoing):‡bChronologically.
506      Standard restrictions are applicable.
RSN      THIS IS A DEMONSTRATION RECORD
```

Time passes, and we have made some inroads into the processing of the Collier papers. The record has been updated again, with changes both to the bibliographic segment, which now shows that the correspondence has been arranged, and to the Archival Control segment, which records that process and also shows that the correspondence has been moved to a location separate from that of the rest of the collection, and that a future date for microfilming has been set. The RLIN Reports System will alert the archivist when that future date is at hand.

Slide 5A

```
RGPN
PCID 1      PCDP Y              PST D                    PSTD
ACCN 84-134M                  ACCD 01/09/84
SRCE Collier, John
ADDR 179 Washington St., Haversham
MTHD Gift
PLOC Room 55A

ACID 1       ADP Y
ACT  Accessioned
   TAC 01/09/84

ACID 2       ADP N
ACT  Acknowledged
   TAC 01/17/84
  METH Certified letter
   AGT President Marshall's Office

PCID 2      PCDP Y              PST D                    PSTD
ACCD 01/09/84
MATL Personal correspondence
PLOC Stack A, Range 5, Shelf 22-23

ACID 1       ADP Y
ACT  Arranged
   TAC 12/20/84
```

Slide 6

```
Collier, John, 1884-1968.
  Papers, 1920-1966.
  80 linear ft. (170 boxes, 1 folio).

  Organization: Personal correspondence (incoming): Alphabetically by writer.
  Organization: Personal correspondence (outgoing): Chronologically.
  Standard restrictions are applicable.
  Summary: Advocate of Indian rights, teacher, author.  John Collier,
commissioner of Indian affairs, directed a dramatic shift in federal Indian
policy.  The records reflect Collier's private thoughts and impact during
critical years in Indian social and political history.
  Indexes: Unpublished register in repository.
  Gift of John Collier in 1966.

  1. American Indian Defense Association, Inc. 2. Indians of North America--
Government relations.

  RSN: THIS IS A DEMONSTRATION RECORD
  RGPN: MSGR 146
  ID: CRLGLFG3-A                CC: 9554       DCF:          PROC: b
```

Still more time passes, and the collection is fully processed. On a card-like display, we see the full description of the material, a summary of its contents, a biographical sketch of John Collier, a preferred form of citation, and the tracings for this record.

Slide 7

```
ID:CRLGLFG3-A        RTYP:d     ST:d          NLR:        MS:  EL:  AD:12-20-83
CC:9554  BLT:bc      DCF:     CSC:d   MOD:    PROC:b                UD:01-24-84
PP:ctu      L:eng      PC:i     PD:1920/1966    REP:
040      CtY‡cCtY‡eappm
100 1    Collier, John,‡d1884-1968.
245 00   ‡kPapers,‡f1920-1966.
300      80 linear ft.‡f(170 boxes, 1 folio).
351      ‡3Personal correspondence (incoming):‡bAlphabetically by writer.
351      ‡3Personal correspondence (outgoing):‡bChronologically.
506      Standard restrictions are applicable.
520      Advocate of Indian rights, teacher, author.  John Collier, commissioner
    of Indian affairs, directed a dramatic shift in federal Indian policy.  The
    records reflect Collier's private thoughts and impact during critical years
    in Indian social and political history.
555      Unpublished register in repository.
561      Gift of John Collier in 1966.
610 20   American Indian Defense Association, Inc.
650  0   Indians of North America‡xGovernment relations.
RSN      THIS IS A DEMONSTRATION RECORD
```

The fully-tagged display shows the structure which contains all this descriptive data,

Slide 8

```
RGPN MSGR 146                                HST 12/20/83 CT
PCID 1       PCDP Y                PST D                      PSTD
ACCN 84-134                       ACCD 01/09/84
SRCE Collier, John
ADDR 179 Washington St., Haversham
MTHD Gift
PLOC Stack A, Range 5, Shelf 22-23

ACID 1        ADP Y
ACT  Accessioned
   TAC 01/09/84

ACID 2        ADP N
ACT  Acknowledged
   TAC 01/17/84
  METH Certified letter
   AGT President Marshall's Office

ACID 3        ADP Y
ACT  Cataloged
   TAC 11/15/85

ACID 4        ADP Y
ACT  Microfilming
  TFAC 02/--/86

PCID 2       PCDP Y                PST D                      PSTD
ACCD 01/09/84
MATL Personal correspondence
PLOC Stack A, Range 5, Shelf 22-23

ACID 1        ADP Y
ACT  Arranged
   TAC 12/20/84
```

and the Archival Control segment shows the complete processing history of the collection (note that parts of that segment refer to the entire collection, while other parts deal with material at a lower level, the "series" level in archival terminology.

As it turns out, however, we're not quite through with the Collier papers. John Collier's widow gives us an addition to the collection, an addition with restrictions attached.

Slide 9

```
PCID 3       PCDP N                PST D                      PSTD
ACCN 86-123                       ACCD 05/30/86
MATL Restricted addition
SRCE Collier, Grace V.
ADDR 179 Washington St., Haversham
MTHD Bequest
OWNR Estate of John Collier
PLOC Vault

ACID 1        ADP N
ACT  Restriction review
  TFAC 05/30/87
  CONT Restricted until 20 years after the death of the last surviving child of
    John Collier.
```

Once again we update the record, though only the Archival Control segment this time. We record the source of this addition, and the details of ownership, the location of the material, and the somewhat morbid -- if thoroughly realistic -- contingency controlling the lifting of restrictions on access. We also set a future date for the Reports system to remind us to check into the fate of the Collier children. The very fact of this addition's existence is considered confidential information, so we set the display permit at a higher structural level to "No"; this ensures that any actions carried out on this material will also be prevented from display to unauthorized users -- contrast that to our previous use of the display permit, which allowed some actions on the whole collection to be displayed and others to be hidden.

Slide 10

```
Collier, John, 1884-1968.
  Papers, 1920-1966.
  80 linear ft. (170 boxes, 1 folio).

  RSN: THIS IS A DEMONSTRATION RECORD
  ID: CRLGLFG4-A               CC: 9554      DCF:          PROC: b
- - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - - -
RGPN MSGR 146

 PCID 1
   ACCN 84-134M  ACCD 01/09/84
   Accessioned 01/09/84
   Cataloged 11/15/85
   Microfilming to be done 02/--/86

 PCID 2    MATL Personal correspondence
   ACCD 01/09/84
   Arranged 12/20/84
```

Here, then, is that latest version of the record as seen by another repository. The information about acknowledgement is missing, as is all mention of the restricted addition. The user can get a fuller display of the descriptive matter, but cannot access the Archival Control structure at all.

Slide 11

Baldwin, Hanson Weightman, 1903-
  Hanson Weightman Baldwin papers, 1929-1977 (inclusive)
  74 linear ft. (149 boxes, 1 folio, 2 v.)

Organization: Arranged in five series: I. Correspondence. II. Writings. III. Subjects File. IV. Printed Matter. V. Special Files.

Writer for the Baltimore Sun (1928) and the New York Times (1929-1968); reported extensively on World War II; in 1942 became Times military editor; in 1940 became co-chairman of the armaments group of the Council on Foreign Relations; editor of many books and author of numerous articles.

Summary: Correspondence, writings, subject files, research materials, publicity for books, and other papers of Hanson W. Baldwin, Pulitzer Prize winning journalist and military affairs reporter and editor for the New York Times from 1919-1968.

Gift of Hanson Baldwin in 1968 and 1978.

Indexes: Unpublished finding aid in repository.

Hanson Weightman Baldwin Papers. Manuscripts and Archives, Yale University Library.

Location: Manuscripts and Archives, Yale University Library, Box 1603A Yale Station, New Haven, CT 06520.

1. Adler, Julius Ochs, 1892-1955. 2. Alden, John Doughty, 1921- 3. Baruch, Bernard Mannes, 1870-1965. 4. Bernays, Edward L., 1891- 5. Bissell, Richard Mervin, 1909- 6. Bowles, Chester, 1901- 7. Burke, Arleigh Albert, 1901- 8. Byrd, Richard Evelyn, 1888-1957. 9. Catledge, Turner, 1901- 10. Clark, Joseph S. 1901- 11. Clark, Mark Wayne, 1896- 12. Connally, John Bowden, 1917- 13. Cowles, John, 1898- 14. Craig, Malin, 1875- 15. Crittenberger, Willis Dale, 1890- 16. Dabney, Virginius, 1901- 17. Daniel, Elbert Clifton, 1912- 18. Denfeld, Louis Emil, 1891- 19. Dooman, Eugene Hoffman, 1890- 20. Douglas, Paul Howard, 1892- 21. Dryfoos, Orvil Eugene, 1912- 22. Dulles, Allen Welsh, 1893-1969. 23. Dulles, John Foster, 1888-1959. 24. Dupuy, Trevor Nevitt, 1916- 25. Eaker, Ira Clarence, 1896- 26. Eberstadt, Ferdinand, 1890- 27. Eisenhower, Dwight D. (Dwight David), 1890-1969. 28. Fall, Bernard B., 1926-1957. 29. Farrell, James Thomas, 1904- 30. Fischer, Louis, 1896-1970. 31. Fish, Hamilton, 1888-1946. 32. Forrestal, James, 1892-1949. 33. Fulbright, James William, 1905- 34. Gates, Thomas Sovereign, 1906- 35. Gavin, James Maurice, 1907- 36. Gilpatric, Roswell Leavitt, 1906- 37. Goldwater, Barry Morris, 1909- 38. Gruenther, Alfred M., 1899- 39. Hadas, Moses, 1900- 40. Liddell Hart, Basil Henry, 1895- 41. Hartley, Livingston, 1900- 42. Heinl, Robert Debs, 1916- 43. Hensel, H. Struve, 1901- 44. Hilsman, Roger, 1919- 45. Holifield, Chet, 1903- 46. Hoover, Herbert, 1874-1964. 47. Hurley, Patrick Jay, 1883-1963. 48. James, Edward Leland, 1890-1951. 49. Johnson, Louis Arthur, 1891- 50. Klein, Julius, 1886- 51. Knopf, Alfred A., 1892- 52. Knox, Franklin, 1874-1944. 53. Korth, Fred, 1909- 54. Krock, Arthur, 1886- 55. Lapp, Ralph Eugene, 1917- 56. Lemnitzer, Lyman L., 1899- 57. Libby, Frederick Joseph, 1874- 58. Lippmann, Walter, 1889-1974. 59. McCain, John Sidney, 1911- 60. McNamara, Robert S., 1916- 61. Mansfield, Michael Joseph, 1903- 62. Markel, Lester, 1894- 63. Marshall, George C. (George Catlett), 1880-1959. 64. Mattingly, Garrett, 1900-1962. 65. Michaelis, Herbert, 1904- 66. Morison, Samuel Eliot, 1887- 67. Moyers, Bill D. 68. Muste, Abraham John, 1885-1967. 69. Nelson, Gaylord Anton, 1916- 70. Nickerson, Hoffman, 1888-1965. 71. Nimitz, Chester William, 1885-1966. 72. Nixon, Richard M. (Richard Milhous), 1913- 73. Norstad, Lauris, 1907- 74. Oakes, John Bertram, 1913- 75. Ochs, Adolph Simon, 1858-1935. 76. Ogburn, Charlton, 1882-1962. 77. Pace, Frank, 1912- 78. Puleston, William Dilworth, 1881- 79. Quesada, Elwood Richard, 1904- 80. Radford, Arthur William. 81. Reston, James Barrett, 1909- 82. Rickover, Hyman George. 83. Russell, Richard Brevard, 1897-1972. 84. Salinger, Pierre, 1925- 85. Salisbury, Harrison Evans, 1908- 86. Sandcz, Mari, 1896-1966. 87. Sherrod, Robert Lee, 1909- 88. Sikorsky, Igor I. 89. Smith, Truman, 1893-1970. 90. Stallings, Laurence, 1894-1968. 91.

Slide 11A

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Stark, Harold Raynsford, 1880-1972. 92. Stout, Rex, 1886-1975. 93. Stratemeyer,
George E., 1890- 94. Strauss, Lewis Lichtenstein, 1896- 95. Sulzberger, Arthur
Hays. 96. Sulzberger, Arthur Ochs, 1926- 97. Taylor, Maxwell Davenport, 1901-
98. Twining, Nathan Farragut, 1897- 99. Watson, Mark Skinner.
100. Wedemeyer, Albert Coady, 1896- 101. Westmoreland, William Childs, 1914-
102. Wheeler, Earl Gilmore, 1908- 103. Williams, T. Harry (Thomas Harry), 1909-
 104. Baldwin, Hanson Weightman, 1903- 105. United States. Dept. of Defense.
106. Council on Foreign Relations. 107. New York Times. 108. Journalism. 109.
Korean War, 1950-1953. 110. Military art and science. 111. Military history,
Modern--20th century. 112. World War, 1939-1945. 113. Armed Forces. 114. United
States--Politics and government--20th century. 115. Europe. 116. Great Britain.
 117. Near East. 118. Asia. 119. United States--Foreign relations. 120.
Journalists. lcsh 121. Authors. lcsh

  LCCN: MS721873
  RGPN: MS 54
  ID: CTYV84-A135                 CC: 9554      DCF:          PROC: c
```

Finally, this record is indicative of another interesting difference between AMC records and other typical MARC records: records with over a hundred tracings, and with screen after screen of summary or biographical information are quite common in this file.

The RLIN Reports System (RRS) is a flexible, generalized reporting package which will be used by archivists to generate a variety of printed products: accessions lists and donor lists, guides to individual repositories and inter-institutional guides are readily produced; reports on the status of material in process, on particular kinds of tasks, on activities scheduled to be carried out in the next quarter or year, will assist the archivist in managing the repository. At this moment, the initial users of RLIN's AMC enhancements -- Yale, Cornell (including both the University Archives and the Labor Management Documentation Center), the Stanford University Archives and the archives of the Hoover Institution at Stanford -- are assisting us in finalizing the design of these reports. This process of refinement should be complete by the time we begin to train additional users late this Spring.

Where do we go from here? We investigate the needs of other parts of the archival community. For example, records management -- the scheduled transfer of records from an office of origin to other repositories (and, sometimes, to destruction) is an activity characteristic of state archives. We are in continuing discussion with a number of institutions which will soon be able to exercise RLIN in this particular way -- a way which was not consciously addressed in the design of the system, but to which the design of the system seems amenable. We have as part of our immediate plans the development of a capability for the conversion of data from the Spindex format -- a data structure which has been used for batch processing and the generation of printed products by numerous repositories for some years -- to MARC using RLIN's extremely powerful, highly generalized data conversion utility, Unicorn. We are at the earliest stages of discussions which may lead to the availability of NUCMC -- the National Union Catalog of Manuscript Collections -- as a resource within the RLIN database.

These various areas of development -- the inclusion of a wider community of users, each of whom brings unique resources to RLG; the ability to convert existing files of archival data to a format directly useable by RLIN; and the potential availability of NUCMC as a resource -- represent the beginnings of a national database of primary source materials.

And, as an interesting -- and final -- tangent, the work we have recently begun on the development of capabilities for the description and management of museum objects -- realia, if you will -- seems likely to build very heavily on the concepts and structures of RLIN AMC; the approach we have taken in dealing with archival materials has laid much of the foundation on which we will build these future capabilities. That "tomorrow" I mentioned in regard to Picasso's portrait of Gertrude Stein seems very close indeed.

INTEGRATING ARCHIVAL MANAGEMENT WITH LIBRARY NETWORKS: IMPLICATIONS FOR THE FUTURE

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Abstract. This talk discusses the potential impact of integrating archival management with library networks, including the opportunities for improving cooperation among various kinds of special collections and integrating them more effectively into research libraries. In addition, the implications of providing comprehensive access to library holdings is discussed, especially the potential impact of these changes on both archives and libraries. The author suggests that the increased visibility of archival records and the resulting improved understanding of archival techniques by librarians will result in a more flexible approach to problems of access and the increased exchange of ideas and techniques between librarians and archivists.

In preparing for this talk, I was struck by the enormity of my task. My charge is to look beyond current practives and traditions in both archives and libraries and to predict how we will achieve a still undetermined goal. Undaunted by this challenge and encouraged by Barbara Brown, who counseled boldness and urged me to be provocative and speculative, a practice commonly referred to as "blue-skying," I fancied that I might even emulate the popular success of current prognosticators and title my talk "Microtrends." Sober second thoughts, however, prevailed, and I soon recognized that my situation was more nearly akin to that of Scheherazade whose fantastic tales, you will remember, persuaded the Sultan to spare her life for a thousand and one nights. And so, emboldened by her example, I will ply you with wonderous tales in the thin hope that archivists and librarians will spare me twenty minutes to tell another tale.

I.

Tom Hickerson has already suggested some of the underlying differences between archival methodology and that of librarians. But I think it may be useful to illustrate one or two of these differences before speculating about the impact of automation on archives and its potential for altering the relationship of archives and other special collections to libraries.

One of my most vivid memories of beginning work as an archivist in 1970 was wheeling Yale's Manuscript Catalog away from the Library's Union Catalog and out of the grasp of the Reference Department to the largely hidden, but friendly sanctuary of the Department of Manuscripts and Archives. This physical removal of a part of the catalog from the whole not only points up the complete change in direction we are celebrating here today, but the underlying differences, often close to distrust, that exists between archivists and librarians. The issue involved in moving the catalog was the certain knowledge of the archivists that the catalog, indeed, any printed catalog, was incomplete and, therefore, an inaccurate tool for providing access to collections of unique materials. The archivists' mistrusted the reference librarians who not only attempted to answer research questions using this imperfect catalog, but who, the archivists believed, didn't really understand the nature of archival work. That is, the archivist, as portrayed by the late Herman Kahn, believed that the professional served essentially as a mediator or, facilitator, as we now say, between the research inquiry and the collection. In part, this perception of the role of the archivist is based on the realization of the inadequacy, or rather, incompleteness of archival description or cataloging. In part, it is a definition predicated on the realization or perhaps fear that, if one doesn't stress the curatorial or intellectual role of the profession, the archivist will be perceived as, and in fact might well become, a technician whose primary role is to employ increasingly disparate measures in order to gain a measure of control over enormous quantities of paper and records. Also, archivists are accutely aware of the changing nature of inquiry: the fact that the kinds of questions researchers ask, indeed, the patterns of research, necessarily change over a period of time. Consequently, inventories and catalogs are invariably deficient, depending, as they do, upon one's ability to anticipate the kinds of questions researchers will ask and how collections will be used. It was precisely for this reason, that is, the relative ease in revising and updating information using computers, that I finally overcame my own initial reservations about machine-readable cataloging for manuscripts and archives and became a proponent of integrating archival cataloging with library networks. There were other reasons for my own change in thinking, which I will mention later on, but it was the recognition of the potential benefits of automation as it related to my understanding of the role of the archivist that first allayed my fears and piqued my curiosity about the potential use of automation in archives.

The separation of the Manuscript Catalog from the Union Catalog did little to endear the Archives to the Library's Reference Department, who could hardly be expected to understand the sophisticated depths of our reasoning in removing it from a public area and, in truth, at the time, neither did we. They saw the removal of the manuscript catalog as a wanton destruction of the integrity of the catalog by a band of barbarians or, somewhat more charitably, a simple grab for power. In retrospect, there was some truth in both these perceptions, although I am not yet prepared to repent our actions. For even in this period of baptism as an archivist, I was already fully indoctrinated and mistrusted librarians, who, from my untutored perspective, seemed bent on imposing rules designed for cataloging mere books on the unsuspecting archivist. These suspicions were confirmed daily as I confronted our card catalog and weighed the decision of whether or not to catalog a new addition to an old collection by describing each individual item, as had been done previously with thousands of items in each cataloged collection, or to simply reprocess or recatalog, in library parlance, the entire collection. In those days I often fantasized about visiting the Archives in the still of the night and pushing the entire card catalog into the middle of the street and setting it on fire. That does not, I suppose, offer much to recommend the quality of my fantasies, but it does say something about how I perceived the relationship of the Archives to the Library at that time. I think it is fair to say that I, and many of my colleagues, were a long way from the notion of integrating the Archives with library networks.

I mentioned previously that we first became interested in applying automation to archives and manuscripts at Yale because of the opportunity it appeared to offer for improving access to collections. Not only would it be simpler to update collection descriptions, thereby providing a solution to the inherently dynamic nature of archival description and changing patterns of research, but automation would also permit the manipulation of data and provide a level of access to collections that is all but impossible in a manual system without an enormous investment of time and staff. For example, at Harvard's Houghton Library, we have a project to arrange for microfilming the Papers of Charles Sumner. Because we are using a computer to catalog the collection, a researcher will be able to study the response of Sumner's constituents to various issues and events for a particular date by region or even individual state. While such sophisticated search strategies are more likely to occur on a collection level by using microcomputers, it is not difficult to see the potential for identifying collections by subject or date or names within a repository, a region, or even nationally. The key to success in this effort, however, depends on standardizing terminology and descriptors and, in this respect, archivists have been woefully behind librarians. Ironically, the growing availability of microcomputers for the first time provides an opportunity to improve collection control at the local level without regard to national standards. Had this phenomenon occurred a few years earlier, it is conceivable that the archivists' commitment to the revised MARC Manuscript Format might never have occurred or, at least, might have been greatly delayed. Because of the adoption of the MARC Format and the availability of the manuscript enhancements in RLIN, there will be considerable pressure on repositories to adopt those standards, even for local projects, thereby assuring technical compatibility with emerging national manuscript information systems.

II.

Perhaps the greatest consequence of providing comprehensive access to the library's holdings will be the increased visibility, and I believe the larger role that will be played by special collections in libraries. With the continued growth of library networks and the greatly enhanced potential for sharing resources and cooperative collection development, the nature and scope of the individual library's collection will inevitably change. One may begin to think of a research collection as one that is housed in locations scattered throughout the country, in remote storage, if you will. Technical improvements in the communication and recording of information will very likely change the day-to-day operations of libraries. In this environment, one in which few if any libraries can aim at comprehensiveness, the quality of special collections, I believe, will distinguish the great research library. Those libraries which are able to respond to these changes by paying attention to the development of special collections and attempt to integrate them into the library, rather than permitting them to drift as independent fiefdoms in a diminishing library kingdom, will provide, I predict, the library models of the future.

Pursuing this theme, I will attempt in the remainder of my talk to point out some of the opportunities I see for creating such models, especially in the area of improved cooperation among various kinds of special collections, and for making them more effective and full partners in research libraries. Along the way, I will also discuss some of the implications of providing comprehensive access to library holdings, especially for improving access to research materials and the potential impact of these changes on both archives and libraries.

The most dramatic impact of integrating archival and manuscript cataloging with library networks will be the return of the Manuscript Catalog to the Reference Deaprtment. The old problem of the relationship of general library reference to archival or any special collection reference will have to be resolved, and done so in a way that will favor a closer working relationship among the various parts. The visibility of archive cataloging in the Library's catalog will inevitably force the issue, but what will make cooperation more palatable to the archivist will be the greater awareness by reference librarians of archival methodology and an understanding that the record they see on their terminal is often only a synopsis of a more detailed inventory in the Archives. In addition, there whould be a better understanding by librarians that, unlike the catalog desciption of a book, the archival desciption is dynamic and may change both with additions to the collection and also, in time, in response to increased knowledge about collections and changes in the research use of collections. Still, even with increased awareness and understanding of archival methodology, the integration of archival catalog records into the Library's catalog will necessitate administrative decisions about the relationship of the library Reference Department and the Archives or Special Collection, if only to decide who answers which questions when.

The question of reference, that is, the question of how we provide access to collections, is further complicated by the growing number of repository guides and guides to individual collections being acquired by libraries. Many of you may be aware of a publishing project, The National Inventory of Documentary Sources in the United States, in which thousands of finding aids are being issued on microfiche and accompanied by indices. Where should these various guides be housed, and who should be responsible for providing assistance to students and researchers in using them? Should they be housed with the reference collection, in the general collection in the stacks, or in the Archives or Special Collection? While such questions may be disturbing, I see the possibility of providing comprehensive access to library holdings as an opportunity to reconsider the entire relationship of the archives and other special collections to the library of which they are important parts. The adoption of the MARC Manuscript Format and the development of the manuscript enhancements by RLIN, in short, the integration of archival management into a library network, will provide both the opportunity and the necessity for doing so.

Another practical question facing the Archives that may involve procedural changes in their day-to-day operations, but which may also have long-term implications, is who will catalog. Many, perhaps most archives, do not have on their staff catalogers in the "library" sense of the word. Consequently, either archivists will have to learn MARC tagging routines or the archives will have to rely on the library's central cataloging staff to do this work. As in the case of reference questions, the issue of jurisdiction or territory will come into play. To those archivists who are reluctant to consider the possibility of library cataloging support, I would point out that such integration also offers the archives an opportunity for increased financial support from the central administration. Perhaps the promise of increased support will outweigh some loss of independence.

One of the problems that archivists and manuscript curators have struggled with is how to let researchers, especially their own students and faculty, know what is available in the repository. Many institutions have resorted to newsletters, repository guides, and announcements in various professional journals, generally not among those read by scholars. One may fault faculty for not making a greater effort to keep informed; still, the burden for improving access falls on the curator and librarian. It's part of our job! Indeed, along with the enhanced capability for revising and updating collection descriptions, the other major consideration in my own conversion to producing machine-readable records was the opportunity for producing selected topical or subject guides which could be targeted to a specific audience, say, a faculty department, a scholarly conference, or even an individual class. Moreover, I see an opportunity to address in a much more comprehensive fashion the matter of collection development. To be sure, most special collections have their own unique history, the accidents by which institutions acquire some of their collections. But, librarians have frequently compounded the element of chance by regarding special collections as a particular form or type of material rather than material that has content which may or may not be relevant to either the library's general collection policy or the research needs of the faculty or students. The opportunity for a more coordinated collection strategy has always been possible, but the integration of the catalog and the unique capabilities of the computer provide both incentives and a new opportunity for examining special collection strengths in relation to the goals of the library; even more, to examine both in relation to the curriculum and teaching and research strengths of the college or university. What I am suggesting is an opportunity to develop a closer link between special collections and the library's general collections.

You may be puzzled by the way in which I have used the term Archives, Manuscript Department, and Special Collections interchangeably. I have done so deliberately. It is true that with the exception of the frequent linkage between Archives and Manuscripts Departments or, more often, the linkage between Manuscripts and Rare Books Departments, there is little evidence that either those working in various departments dealing with nonstandard materials or, what I call mainline librarians, ever assume any particular degree of relatedness among these collections. Perhaps it is fairer to say that even when library administrators have seen a connection, they soon despair of efforts to forge a degree of cooperation with the central library. This is, of course, an old problem familiar to many of you. The truth of the matter is that curators of special collections are understandably inclined to view their collection and their responsibilities from the perspective of what is distinctive or unique about their collection, and take a dim view of any effort to force them to conform to standards that fail to take into account their uniqueness. But the more I have become acquainted with various kinds of special collections -- maps, rare books, theater collections, historical sound recordings, archives, and manuscripts, to name a few such categories -- the more impressed I become with their similarities. The subject focus or the particular type of material may vary, but the need for good security and climate controls, special equipment, variable or nonstandard methods for controlling and providing access to materials, and the need for specially trained staff, would all seem to suggest a special bond and a reason for cooperation, if for no other reason than to exert pressure on the library administration for greater support. Also, because special collections have so often been perceived as beyond the common weal, they have sometimes been exempted from higher library councils, an exclusion often welcomed by those curators who regard library administrators as dull managers who, far from being lovers of books or any subject contained therein, are governed by rules of expedience and the "bottom line" of a budget.

I mention these matters because I believe that the development of the archival enhancements and the integration of archival management into library networks provides a model for other kinds of special collections. It remains to be seen whether or not the archival enhancements will be adequate for all special collections; probably not. But, by recognizing the special requirements, the claims for separation or special status within the library are partially nullified. In short, I believe that automation and the potential for comprehensive access to library holdings will or can be the engine for greater cooperation among the variout special collections librarians to find common solutions to their problems. This prediction and my praise for the virtues of comprehensive access to library holdings, made possible by the adoption of library cataloging standards, albeit modified, is not without an element of irony. For my initiation into the world of mainline librarianship has been greeted by the complaints of my new colleagues about the declining quality, as well as production, of cataloging in the wake of automation. There may be justice in these complaints, but I suspect the reasons may have less to do with automation than with the recent changes in cataloging rules. Nevertheless, such complaints certainly give one reason to reflect on the potential impact of adopting such standards on special collections.

One reason for optimism about the future of special collections is, that while the archival enhancements are based on national standards, these standards are predicated on the assumption of local autonomy and a foundation of local information. The guides and inventories are maintained locally. To librarians, this two-tiered approach may sound like double cataloging; but it should be understood that the more detailed local information represents, in a way, the index and table of contents which the archivist must first provide in order to catalog the collection.

The new MARC Manuscript Format and RLIN's Archival enhancements recognize the need for local autonomy, indeed, recognize that manucripts, archives and other special collections are in fact different in significant ways from books and, further, that any system, automated or manual, ought to give some scope to these differences. Consequently, the old plea of curators of special collections for exemptions from library networks or from the central catalog and reference functions of the library I think will have little validity in the future.

If the assertion that book cataloging standards are declining because of automation, as soon librarians contend, then it would appear that the catalog of the future will be seen as a means for locating a volume on the shelf rather than as a bibliographic tool. If this is the trend, then the burden for creating more sophisticated or specialized bibliographic access will be the responsibility of enterprising librarians and scholars who will produce such catalogs locally or in concert with like-minded persons at other institutions. If, in fact, this is the future direction of libraries: that is, if the trend is toward the creation of minimum level records for the national data base and the development of richer or at least different and nonstandard cataloging for parts of the collection locally, then the librarian will have taken a step or two in the direction of their colleagues in archives and special collections. By making a distinction between national and local standards in cataloging, the librarian will be close to the archival approach of distinguishing between reporting all one knows about a collection, either currently or in the future, and providing information which will make the collection visible and accessible at the most basic level.

The recognition of this distinction between making something visible as opposed to providing a full description, may make librarians more receptive to archival methodology in controlling and providing access to a variety of valuable research materials. For example, pamphlets, photographs, posters, and assorted objects and ephemera which, because they are too expensive or difficult to catalog or store, have often been relegated to the library basement. It is precisely this kind of material that might better be arranged and described using archival techniques. Nonstandard guides or indices can provide adequate access, while the collection as a whole can be reported nationally using the

Archives and Manuscript Format. Moreover, local guides can be put on microfiche and distributed for very little cost to any interested researcher. The Yale Library's valuable Latin American Pamphlet Collection of approximately 19,000 pamphlets, which had remained uncataloged in the Library for over fifty years, has been listed and described by the Archives Department in a nonstandard local form, but will be described as a collection using the new MARC Manuscript Format in RLIN. The same kind of procedure is being used at Harvard, where a program called "Local MARC" permits the nonstandard cataloging of materials which are then made available through the Library's Distributable Union Catalog. The increased availability of microcomputers will greatly facilitate this process and permit libraries to make greater use of archival methods in handling parts of their holdings; the availability of RLIN's Archives and Manuscript Collection Format will permit these valuable research collections to be visible and accessible nationally.

In the end, no technology is a substitute for bright individuals fully engaged in understanding the work at hand. If the shared goal of librarians and archivists is to improve access to research materials, then we will need to find creative ways to overcome professional and institutional barriers by recruiting and training people in a variety of methods and techniques for making research materials accessible. Perhaps we need to begin by examining the differences in the training archivists and librarians receive and the ways in which we reward and measure the development and performance of individuals in each profession. The integration of archival management into library networks provides a window on both worlds and an opportunity to reexamine the precepts of each. I am encouraged by the hope that perhaps even in our generation or, at least, our children's generation, librarians and archivists will be at last freed from the conceptual prison of the three-by-five catalog card and begin to think imaginatively about the problems of access to research materials and the potential of computers and other technologies for solving them. Perhaps talk of conceptual revolutions and the marriage of professions is only a fabulous tale, but remember that, after a thousand and one nights, Scheherazade did finally wed the Sultan and lived happily ever after.

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A HOUSE DIVIDED: PUBLIC SERVICE REALITIES IN THE 1980's

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Abstract. Academic librarians generally assume that there exists a strong progressive public service agenda that directs their behavior and the development of services to meet changing user needs. In fact, the traditional service model is severely fragmented. Four papers address the theme of a house divided. Together they call for the use of an integrated role model that pulls together reference services rather than fragments them. Bibliographic instruction, reference and online searching are but a few of the functions that become standard for all public service librarians. Through the combination of these skills, each librarian will be able to respond more effectively to the variety of information needs of individual users. This first paper sets the stage for discussion of the integrated role model. The reality we face is highlighted. The lack of a unifying model may be contributing to the feelings of stress and loss of control being experienced by many librarians. Nevertheless, there is a potential for arriving at a new unity of purpose if we explore openly new designs and new models.

Key words and Phrases. Quality of work life; Reference services; Agenda for action; Fragmented roles; Client-Centering.

A HOUSE DIVIDED: PUBLIC SERVICE REALITIES IN THE 1980's

Will Rogers once said "The trouble with most people isn't what they don't know, but what they do know that isn't so." Academic librarians generally assume that there exists a strong progressive public service agenda that directs their behavior and the development of services to meet changing user needs. That isn't so.

In fact, the traditional service model is severely fragmented. Reference librarians hold widely divergent views toward online database searching, bibliographic instruction, outreach programs, faculty seminars and a number of other increasingly sophisticated refinements and innovations. For example, bibliographic instruction remains a hotly debated subject despite more than fifteen years of development.

Thelma Freides, in a Library Trends issue on reference services, states "Academic reference librarians have never defined their goals or the scope of their work beyond a general intention to assist readers with whatever they might need to facilitate their use of the library. Equally unarticulated and unexamined is the assumption that the hub of this assistance is the reference desk."[1]

Three problems are immediately apparent: (1) no agenda, (2) fragmented roles and (3) unexamined assumptions. Today we call for the development of an agenda. We call for the use of an integrated role model that pulls together reference services rather than fragments them. Finally, we call for an examination of our service assumptions. This may lead us to expand our philosophy of reference and move toward centering our services more effectively. The need to be more outward looking may be viewed with foreboding by those who adhere religiously to traditional models of service. Resistance will crop up at both the individual and organizational levels of the library.

John Berry, in a recent report on the first LITA Conference, writes, the conference message is clear: libraries are on a "path of endless fundamental change."[2] We agree. The individual is confronted by changes that seem to mandate new values, new skills, and more work. Reference librarians are expected to be more active and less reactive. They are expected to acquire technical and communication skills that are complex with often unexpected consequences in terms of existing policies and practices. At the organizational level we are faced with perplexing constraints in time and resources, by narrow perspectives, and a tendency to use the muddle through approach to library decision making. This approach emphasizes the curative effects of waiting, making do, and avoiding as a standard response when faced with complicated environments that threaten to transform current practices and remold our attitudes toward the service obligations of librarians.

The sudden confluence of several powerful trends may overwhelm the ability of traditional services to cope with the impact in an effective manner.[3] If the information technologies being developed in the 80's are building the infrastructure of new information economics in the 90's, then new information goods and services are mandated.[4] The typical hierarchical structure of libraries, trapped by historical antecedents, restricts our search for a way out of the current impasse. New designs and new models are necessary.

Role models for the public service librarians must be able to integrate the new technologies and service requirements as well as the altered system of values implicit in their adoption. The integrated role model combines functions. Bibliographic instruction, reference and online searching are but a few of the functions that become standard for all public service librarians. One goal is to create roles and to avoid fragmentation. This practice conforms to advanced principles for the design of work.[5]

Through the combination of these skills individual librarians will be able to respond more effectively to the variety of information needs of individual users. This model may force libraries to alter their structures in order to respond quickly to innovative developments without the wrenching and threatening experiences that now trap many libraries and their staff.

Four papers will be presented this morning.

1. First, I will describe for you some of my impressions about the reality we face as public service librarians. Stress and a loss of control seem commonplace. While I will comment upon the divisions, I am excited by the potential for arriving at a new unity of purpose. This paper will set the stage for a discussion of an integrated role model. How we move in that direction will be a key element in the three papers that follow.

2. Kathleen Gunning, Assistant Director for Public Services at the University of Houston, will describe the integrated role model more fully and will compare it with what might be called the traditional model. The integrated role model uses design of work principles that improve the quality of work life and have high level motivational factors built-in. Ways in which the new model can improve the performance of the library toward its user groups will be discussed. The personal characteristics necessary to operate effectively in an integrated role will also be mentioned.

3. In the third paper, Patricia Swanson, Assistant Director for Science Libraries at the University of Chicago, will discuss how we might use elements of the integrated role model to create an extended traditional model. The complex set of factors incluencing our present reference environment will be highlighted. This will include constraints, opportunities and the historic/demographic features that are library specific. By recasting our view of duties appropriate to the reference librarian we should be able to construct a more flexible role model.

4. In the fourth paper, Phyllis Jaynes, Director of User Services at Dartmouth, will examine library-wide practices toward the design of work, the design of the library as an organization and other factors that might effect the expanded use of an integrated role model. Phyllis will also discuss those features that, in general, constrain organizational flexibility and responsiveness to the needs of the academic community. Steps for removing these constraints will be sketched.

I see a house divided. In the kitchen, chefs, the equivalent of our catalogers, now practice their craft over microwave ovens. The kitchen staff is depleted. Many have departed to the dining room to enjoy Le Menu or Lean Cuisine and to talk, usually of either/or, rather like us as we debate fees or no fees, teacher or intermediary, and quality or rubbish. In the living room one guest is introduced as a BI person, another, an on-line person, and still another seated by the entry way, as a desk person. One strange guest, or perhaps he is the host, is made up of bits and pieces. Hands and legs are in a jumble. Nothing matches. He introduces himself as everyman.

Outside, the Nation is at risk, in an educational sense. Demographics are not yet on our side. Wait. They will be in 1985 or is it 1995? We have experienced deep cutbacks in State funding.[6] Indeed, a recent survey of the Western states showed that 13 of 16 academic libraries, or 81%, had experienced fiscal cutbacks.[7] Fortunately the economy is rebounding. Despite this news I'd guess that you're still concerned. I am.

In biology, the synapse is a region of contact between neurons. Nerve impulses are transmitted over this region. Malfunction can be serious. Parts of the body may lose contact with one another. Things don't connect. I wonder about the parallels between the body biological and the body professional. As you may recall last year's A.L.A. Annual Conference theme was "Connections."

You have your perspectives about the house we share. I have mine. Our perspectives are shaped by, but also shape the reality around us. In the past year I have reached a state of mild alarm. The reason is clear to me but the accuracy of my perception is unclear. I sense that close to the surface like a geological stratum is a layer of widespread personal insecurity. This insecurity is fed by many sources, social, cultural and economic. As a result, change is no longer buffered but is stark and ominous. Stress does not creep in. It tumbles in as if out of control: the path of endless change. Fortunately, things seem a bit better lately. Yet, I'm still concerned. Perhaps stress plays a part.

Stress itself is a curious phenomenon.

For us the question should not be "should I feel stress?" but "do I feel stress?" In Tennessee, five years ago, in a massive study, the general public rated librarianship as one of the least stressful occupations. Librarians disagreed vigorously. Among the University of California Libraries at least five out of the nine staff newsletters mentioned the Tennessee study. The public's rating was rejected.

The 1973 Oil Crisis offered me a personal example of the connection between perception and stress. My father, recently retired, worried about running out of gas. He established this rule: don't let the gas gauge fall below three quarters full and assuredly never below half full. Regularly he spent long hours in line at the local gas station. Since he owned a large eight cylinder Buick, regularly was frequently. Even in discussing the gas problem he exhibited considerable uneasiness. My rule was different: get gas before you run out but be opportunistic. If I saw no line and I was below half full, I'd pull in. Otherwise, I'd wait. I never ran out of gasoline.

My father's perception of reality led to stress and to the creation of decision rules for action that fed the stress. In the long gas lines of 1973, drivers often turned off their engines, got out of their cars and talked with one another. They swapped horror stories, gas stories.

You and I can avoid, we can defeat this stress-perception loop by creating decision rules for action that foster self-liberating values. We can begin to regain professional control by creating our own comprehensive agenda for service, a strong progressive agenda. We can unite, we can connect by emphasizing roles that lead to integrated skills rather than fragmented specialties.

I see a house divided, but I also see opportunity. The realities of our economy and the condition of higher education are not within our power to control. However, some things we can control. Let's concentrate there.

Let me give an example. According to many public service librarians they have been excluded from automation decisions and, as a result, the quality of future systems such as the online catalog will suffer. Those closely involved with the development of automated systems hold different views. They say that public service librarians have not shown an active interest and, moreover, have only an elementary knowledge of these systems. They say we haven't done our homework. Rowland Brown, President and Chief Executive Offices of OCLC, in a speech on networking disagreed with the "concept of returning control to local libraries."[8] I'll tell you one thing. I didn't know we had lost local control. But if we have, I want it back. How we accomplish this is our shared challenge.

There is a general control issue we should address before looking at the specifics of control. This issue is the degree of control that you have or perceive that you have at work and in your life. Many reports state that people are feeling less control today than five years ago or ten years ago. Granted we cannot control everything, but the solutions to our problems, our divisions, lie mainly within ourselves, within our power to influence. As individual librarians we have often lost control, failed to control or abdicated a professional responsibility to control. Now I'm not talking about control in the sense of "who checks up on Jack to see that he's on time." I'm talking about who governs and who sets the agenda. I'm talking about who combats the tribal echo chamber of our professional either/or diatribes and presents the user's agenda. I'm talking about what can unite us and make us strong professional advocates. Already too much divides us -- narrow jobs, the isolation of self-interest and the failure to pick up the reins of control.

Maybe you have the impression that I'm big on control. I'm not. I'm big on freedom and for me effective control liberates. Effective control allows you, your profession and your library to be free to handle and address the tough challenges. Rarely do we use control in this sense. Often it is used to dwarf or diminish others. In the process we become victims of a self-limiting cycle.

Tom Wolfe wrote The Right Stuff. Hollywood picked it up. According to Newsweek, the movie is about "heroic archetypes, epic scales, American legend."[9] The astronauts were treated like lab rats and were regarded as interchangeable with chimps. They struggled. They wanted to be pilots of their spacecraft not just cargo or as Chuck Yeager quips "Spam in a can." The movie succeeds not because of the demonstration of the astronauts' physical feats but because of "the blossoming of their quirky, hard-won humanity."[10]

You and I are faced with a similar dilemma. However, our task is not so simple. The astronauts' goal was obvious. However, we don't even have an agenda. Here I mean a statement of action predicated on a strong, active, integrated public service program that addresses the increasingly complex information requirements of our academic communities. Without this program control may be viewed as the pursuit of self-interest or business-as-usual.

Technical service librarians pursued this line of defense. Advanced technology decimated their ranks. Like a scythe the services offered by outside utilities were able to overcome obstacles in a few years that critics of our bibliographic control practices had been unable to dent for decades. The present state of public service in academic librarianship seems easy prey for tightfisted budget realists, the people who fund us.

In some libraries, a struggle is being waged between reference desk professionals and capable support staff looking for more challenging duties through desk assignments. We must be wary of defining our value and our talent so narrowly as to feel distressed by the role expansion of support staff. If we do, we will remain easy targets for budget cuts and we will have established a narrow framework from which to judge our social utility as librarians. Our opportunities can free us from this danger. There is so much to do, so much potential. We must seek to lower and to remove the constraints that shackle us. In the remainder of today's program Kathleen Gunning, Pat Swanson and Phyllis Jaynes will show us one interesting approach. The integrated role model that we propose embodies a progressive agenda. I hope that we can center this agenda on the user. If so, we can move from our current desk oriented philosophy toward a service model that is less bureaucratically constrained and enhances our own value within academe.

In sports, success is often measured in a fraction of an inch. Track and field events fall into this category. During the 1968 Olympics in Mexico City, a long jumper, Bob Beamon, bettered the world record by one foot and nine inches. This jump astonished the sports world. We too can astonish our world, the academic community. We can establish an agenda and an enabling role model that aims at the very best, a best that is not bounded by the narrow perspectives of our past, but one aimed at the potential inherent in our multiple technologies both mental and physical.

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TRADITIONAL MODELS: MYTHS AND REALITIES

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Abstract. The traditional role model of reference service in academic libraries is described. An extended traditional model is offered as a means of providing reference services in a complex environment characterized by scarce and versatile resources, multiple goals and objectives and changing user needs.

Keywords and Phrases.
reference services
academic libraries
traditional role model
integrated role model
public services

Since 1876 when Samuel Green asserted the "usefulness of personal intercourse between librarian and readers"[1] reference service has been a factor in library service programs -- long enough, that is, to become a tradition. For at least the last few decades in most academic libraries it has become an unarguable assumption. In recent years, however, traditional reference service has become a pejorative phrase. I want to understand why and to present a view of the traditional model of reference service for the academic library and to describe the ways that the traditional model's strengths can be preserved and yet its responsiveness to complex or nontraditional problems extended.

From within the profession and in the movies - "Sophie's Choice" - traditional reference services seem to be pictured as reactionary librarians hiding behind a reference desk, dispensing in an arch or effete manner esoteric facts or arcane bibliographic details only from sources located within an arm's reach only to those few brave enough to approach the holy shrine. The reference desk is viewed as a fortress and a symbol of passivity, reactivity and narrowness. I think this is a caricature. In my traditional framework the reference desk represents the critical mass of resources -- human, printed, and now electronic, so configured for a convenient and predictable location so that library patrons can find the service and can find someone to help them. A sound and unapologetic definition of traditional reference service can be built from Samuel Green's credo and includes providing informed assistance to those who seek information or access to recorded knowledge. This implies defining a reference source as recorded information in whatsoever format it may occur and could be extended to include information held in organizations or by individuals who are willing to share it. This definition is traditional in that it focuses on helping those who seek information but could be extended to those who have not expressed information needs. However, my traditional model does not support the idea of ignoring present demand while trying to identify unexpressed needs of individuals and groups of users. Promoting use of the library to individuals and groups, however, is a legitimate activity in the traditional model. How reference librarians translate this definition into services and programs should be based on the missions, goals, objectives, style and norms of the institutions in which they work -- NOT according to any model developed without an institutional context. In other words, the constellation of reference or public services that works in one library may not work in another, yet both are satisfying to their respective users. Some will argue that we should adopt a standard service model and educate our users to its virtues regardless of what they say their needs are. I think we should examine our different approaches and adopt models that reflect the diversity, differences and user needs in our institutions of higher learning.

In the past year while working on the ARL/OMS Public Services in Research Libraries project, I have been involved with seven libraries doing self-studies. These libraries have come to some different conclusions on the important issues for study, on services, on staffing and on facilities each admirably supported by evidence from the institutional context. Thus the question traditional or integrated is not necessarily the key one for me, rather it is, is the organization of library staff, library materials and resources the most appropriate one for the particular institution at a particular time.

I would now like to move beyond reference service and to explore traditional academic library organization, to note some of the strengths of that model and to describe examples of adaptations of that model that meet many of Martell's goals for the integrated role model but avoid his model's generalities, e.g., "we can unite, we can connect by emphasizing roles that lead to integrated skills rather than fragmented specialties." The traditional model in academic libraries does contain, for me, a division of labor that proponents of an integrated model criticize. My model does include traditional divisions such as technical services and public services and departments such as reference, circulation, acquisitions, cataloging. In my view this structure is not necessarily a drawback. In traditional departments librarians may well have multiple responsibilities and within any particular department there may be very little hierarchy. The traditional model allows for diversity of services and programs, yet permits a concentration and pooling of expertise that overall enables the library to respond effectively to its patrons. I believe that large academic libraries are too complex, the tasks too complicated and the patron needs too varied and unpredictable for integrated role model librarians to meet all of them effectively or for any individual librarian to have the skills and abilities to provide all services needed. The integrated model is sometimes seen in the Area Studies sections of large academic libraries. Here a small, very specialized clientele can be well served, but the very holism inherent in the integration leads to a sense of self-reliance and uniqueness that can be isolating from other library services or departments and from non-specialist library users. How do the models advanced by Martell and Gunning handle the complexities of broader service and processing responsiblilites and avoid the isolation?

I think the answer lies in an *extended* traditional model, now in use, in fact, in many academic libraries. In this model, traditional departments with multiple goals and tasks and appropriate divisions of labor and concentrations of expertise continue to exist but are strengthened by formal and informal mechanisms of communication for the purpose of transmitting information and coordinating activities and services. Such formal mechanisms for communication and problem solving include "genre-based" groups such as a serials policy committee or a microforms advisory council; "mission-oriented" groups such as a task force on how to design an online catalog and effectively introduce it to users, or problem-oriented groups such as the "controlling food and noise in the library committee." These groups may exist indefinitely or they may be shortlived. Informal, voluntary groups can also be used in the traditional organization to ensure the flow of information within an organization and for discussions of current issues or for work enrichment. At the University of Chicago, for example, there are such groups; one is called the Committee on Reference which meets bi-monthly and is chaired by the Head of Reference Services. Any staff member anywhere in the system who does any reference work is welcome to attend. Meetings with agendas sent in advance are devoted to prepared discussions of issues such as service to non-primary clientele or talks from professionals elsewhere on campus who have information dispensing responsibilities -- for example the social sciences data archive supervisor and the head of a drug information service in the university hospitals. At least one meeting each year is devoted to a reference resources update where members of the group contribute by discussing a new or revised reference source from their respective fields. A bibliography of the items discussed is prepared and distributed to all members.

One library I visited is developing a library-wide skills inventory which is a directory of staff talents including language abilities, computer-programming skills, and advanced degrees in specialized subjects. This printed inventory will be widely distributed and should enhance the library's ability to serve regardless of the exact spot in which the inquiry or need arises.

I have several concerns about the integrated model as described earlier. I am troubled by the lack of specificity in Martell's lament of present inadequacies and by the generalities in Jaynes' administrative views of the organization of the future. What is the agenda we should set? What are the assumptions we should examine? Whose perspectives are narrow? The integrated model, for me, needs more discussion. In fact discussion might reveal less divergence between models than we imagine.

Even though any particular academic library may be quite hierarchical overall, some departments within it may operate in a collegial or non-hierarchical way. I think, in recent years, many reference departments have begun working without so naming it, as quality circles or in some ways like the prototype work groups Martell describes in his recent book, *Client Centered Library Service*[2]. Persons in these departments formally and informally discuss goals, service needs, the role of the professional in the services provided, how to allocate their scarce and versatile human resources against multiple demands from various library patrons and how to maintain quality in time of increased demand and austere staffing. Some reference departments involve the entire staff significantly in the choice of new staff members.

Whether we are beginning librarians or experienced professionals, *not all of us do everything well*. Somehow the integrated-role model implies that we do or should. There is a contradiction in the integrated model in that on the one hand, we are expected to do everything and on the other hand quality work environments are supposed to identify and nurture our individual talents and strengths.

I have three final concerns with the integrated model. First, at what point does integration become overload? Some of today's reference librarians' commonest complaints are that they are spread too thin and in too many directions, not that their work is monotonous or routine. Second, the integrated model seems to assume that present or reduced staffing can be stretched to accomplish everything if only the staff had the right degree of innovativeness and creativity. Only if the integrated model includes the notions of individual libraries defining departmental objectives, setting priorities, and defining limits on service in a logical, rational way, is it for me a realistic model. Third, the integrated model is only so at the work unit level. We need holism, shared goals and shared understanding, at the organizational level and the extended traditional model with its coordinating mechanisms provides it.

Martell and Jaynes speak of a changed, or better organizational structure. In order to evaluate any changed organizational structure we need details of impacts and how to get there. My belief is that it is a myth to wait for the "right" organizational structure (if there is one). Public services staff must function effectively and communicate clearly with patrons and other staff regardless - or in the worst case, in spite of - the organizational structure. Some of the small but significant triumphs that reference staffs feel are when they have established procedures, contacts, and options for their patrons in informal, spontaneous ways. No organizational structure will ever replace the need for or diminish the value of individual, spontaneous connections.

I do not see narrowness in the traditional model, but perhaps I depart from a common understanding of the traditional because I believe that reference librarians should have more than one task and, in addition, have role responsibilities in an organization. In addition to competence in their jobs, librarians should also assume leadership, innovator and problem-solver roles to contribute constructive ideas and solutions to department-wide, library-wide or profession-wide problems.

Whatever we call the organization, or no matter how we define the tasks, there are certain personal abilities and attributes that underwrite the work of public services professionals. If public services professionals have these essential abilities and attributes then whatever model one has will be more successful. These essential abilities and attributes include:

1. Knowledge of how research is done in the various academic disciplines, the kinds of materials needed and the types of information seeking behavior typically found in these disciplines.
2. Knowledge of the bibliographic apparatus of the major academic disciplines.
3. Knowledge of sources (printed, electronic, organizational, human) likely to be used by scholars, students and other knowledge workers.
4. Comprehension of the mission, goals and structure of the library and its parent organization.
5. Understanding of the roles and tasks expected of him/her in the organization and an acceptance of the validity of both.
6. Ability to generalize from an accumulation of individual information encounters to develop programs services and collections that meet users' needs and expectations.
7. Knowledge of at least one language other than English and "title page" knowledge of several languages.
8. Knowledge, understanding, and "terminal competence" in the technology applicable to libraries and an awareness of an advanced technology that may be applicable in the future.
9. Intellectual curiosity.
10. Analytical skills in the pursuit of information or analysis of problems, ability to make connections, shift mental gears quickly.
11. Flexibility/adaptability/energy.
12. A good memory and a willingness to exercise it.
13. An unflappable demeanor and an enduring sense of humor.

Staffs with these abilities and attributes will enhance a library's effectiveness regardless of the model or the organizational structure. In fact these abilities and attributes sound remarkably like Martell's vision in which he describes librarians as having "new roles based on multi-function activities that would be likely to have higher non-routine components and would have a 'wholeness' consonant with QWL principles and professional goals that stress autonomy, variety, self-actualization and meaningful work in relation to institutional goals."[2](page 83).

Perhaps the house isn't so divided after all.

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AN INTEGRATED MODEL OF LIBRARY INFORMATION SERVICES

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Abstract. Services offered by academic libraries have become increasingly complex and diverse. When these services are separated and the number of service points in the library increases, libraries can become more difficult for faculty and students to understand and use. Because researchers frequently prefer the ease of use and the personal quality of service in branch libraries, it is suggested that services offered by central libraries attempt to incorporate these elements of branch library service. An integrated model of services assigns to individual subject specialist librarians or to small client-oriented work groups the responsibility of providing a coherent array of information services to a designated user group. This service configuration promotes the establishment of continuing librarian-user relationships; allows the organization to respond more flexibly and rapidly to changes in technology and user needs; and utilizes work system design principles to offer the job components necessary for interesting and fulfilling positions. Personal characteristics necessary to function effectively in this integrated system include flexibility, initiative, an ability to plan and prioritize tasks, and an enthusiastic, assertive approach to the delivery of services.

Keywords and Phrases. Integrated service model. Work system design. Subject specialist librarian. Client-oriented work group.

INFORMATION SERVICES IN ACADEMIC LIBRARIES

The information services offered by academic libraries have become increasingly comples and diverse. In many libraries services are offered from a large number of different service desks or consultation areas. There may be several specialized reference desks plus longstanding service points such as circulation, journals, reserves, and more recently special administrative units to offer computer searching and bibliographic instruction. Common rationales behind this structure are that specialization increases staff expertise and efficiency and that administrative control of staff performance may be maintained more easily when any given person performs relatively few separate duties. The division of service units by specific function or by format of materials is based upon an industrial production model. In the nineteenth and early twentieth centuries theoreticians from the French sociologist Emile Durkheim[1] to the American Frederick Taylor[2] wrote that as the size of organizations and groups increased, an increasingly detailed division of labor would be both necessary and desirable.

Certainly in any medium sized or large organization a differentiation of functions must be made, because everyone cannot do everything. However, in many industrial organizations problems have resulted from a highly-detailed division of labor. Members of these organizations often have difficulty in deriving satisfaction from performing their duties as they are structured. In libraries the application of this model to units whose function is the processing of materials can produce some of the same problems that industries have faced. When an extensive division of labor occurs in service units, there is not only an impact upon the staff but upon the users of the library.

Central libraries where such divisions typically occur are often perceived by faculty and students as impersonal and difficult to use. Even when dealing with library staff who are service-oriented and knowledgeable, a faculty member or student must deal with many different departments or service points in order to meet their information needs. This effort can be time-consuming and frustrating as the researcher attempts to understand each unit's sphere of responsibility and functions.

Many faculty members prefer branch libraries. Certainly geographical proximity to their offices and laboratories is a factor in the frequent efforts by faculty to establish official or unofficial departmental libraries. However, another important advantage offered by branch libraries is the level of personal service provided. Unless the branch library is very large, there will be only one or two service points, and librarians will become acquainted with the needs and interests of individual researchers. Each member of the library staff will usually perform a variety of service functions rather than providing only references, circulation, current journals, reserves, user education, computer searching, or collection development. Selection of materials is included in this list because I believe that skilled collection development is one of a library's key service functions and should be closely linked to programs which provide access to these collections.

A well-functioning departmental library will be perceived by its users as operating to meet their needs rather than as a separate entity with its own interests and purposes. This rapport and commitment to users is much more difficult to achieve in a main library. However, the tremendous costs in duplication of key materials and staff make extensive establishment and maintenance of branch libraries prohibitively expensive for most institutions. One may frequently encounter situations in which faculty members are attempting to create new branch libraries while the library administration is trying to close or consolidate existing branches.

Very few institutions can afford to provide as many branch libraries as faculty members would desire. However, it is worth considering what organization of services in a main or divisional library might achieve as much as possible of two important features of branch libraries: ease of use and the perception that the library's primary goal is supporting the instructional and research needs of its users.

Because every library has its own history, building design, and set of existing staff it would not be possible to specify a single service arrangement which would be appropriate for all institutions. However, librarians in each organization can undertake a reevaluation of their services from the user's point of view. This rethinking of services would focus on creating a more easily comprehensible arrangement which offers some of the personal provision of service characteristic of branch libraries.

One approach which has enhanced services in quite a few libraries is the integration of such programs as reference, collection development, computer searching, and bibliographic instruction. The librarians in this integrated administrative unit each offer services in all of these programs for certain assigned disciplines. These subject-specialist librarians, as Michalak[4] has called them, are designated as the primary service-providers, liaisons and advocates for users in the subject areas of their responsibility. They are expected to become acquainted with the faculty members' and students' information needs and to make faculty and students aware of the various library services available to them.

A concomitant result of this integrative model is a reduction in the number of different service points in the library. The consolidation of functions makes the library easier for the user to understand. The faculty member or student will still have some decisions to make regarding the appropriate service point for their needs and will still interact with a larger number of staff members than would be the case in most branches. However, if any problems arise in understanding library services or obtaining needed information, users can obtain help or explanations from "their" librarian. The librarian strives to present a cohesive view of the library to faculty and students. As a result of this structure, the central library's services take on some of the strengths of branch library service.

This integrative model is additionally appropriate because advances in technology are rapidly blurring the distinctions between different service specializations. In the library literature there are various publications which discuss the interaction between user education and computer searching[5], either using computer-aided instruction to teach library skills, or training researchers to search user-friendly databases, and the increasing use of computers in reference service.[6]

As librarians develop additional ways to use one form of service to enhance the functioning of another, it becomes increasingly attractive to combine these functions administratively. Two possible overall administrative configurations can result from this development of multi-functional roles. In the first configuration, various client-groups are identified, based on subject specialization or possibly, on university status. A small work group of library staff is formed for each client group. The librarians in a given group each perform a wide range of services. Hierarchy in the library's administrative structure would be reduced, and a high level of contact would be maintained between each client group and the library work group which supports it. Since each of these work groups usually has some level of autonomy, this administrative configuration requires a high level of coordination and cooperation among work-groups in regard to service issues which would involved more than one group.

On the other hand, in order to be capable of rapid and effective response to opportunities provided by new technologies, and to the changing needs of user groups, a second administrative configuration is to have the library organized into a few large administrative units. Each of these major units can then offer a coherent array of services and reassess, restructure, expand or phase out individual services within the configuration more easily than many different administrative units can. Subject specialists then interpret these services to their client groups.

A department would be composed of librarians and staff who perform several different but related functions. In order to provide an adequate administrative structure to oversee these various programs while preserving organizational flexibility, it is possible to appoint coordinators or program managers for the various programs in which a department's members participate. Task forces and other short-term working groups are also useful in carrying out projects which involve more than one program area.

The benefits of an integrative service model for library users and for the ability of the organization to respond to a changing environment have been mentioned. This structure also offers substantial advantages for library staff. It has been stated that a high level of specialization in organizations can lead to the alienation of the staff. Much research has been conducted on work systems design, a study of the meaning of jobs within organizations, the role that they fulfill and the related issue of the content of jobs. Hackman and Lawler have identified six properties which contribute to making a job meaningful: autonomy, variety, task orientation, feedback, friendship opportunities, and interaction with others.[7]

The study of the content of jobs and the degree to which a staff member has responsibility for planning and controlling the activities of the job has been called work systems design. This approach concentrates on work as a self-fulfilling endeavor rather than on the industrial organization model's concern with work as efficient, specialized productivity.

The integrative model of library services makes available to the librarian all of the factors correlated with perception of one's work as valuable and meaningful. A considerable amount of autonomy is inherent in this approach. Either the client-centered work group or the individual subject librarian must construct a specific combination of various services based upon their understanding of the clients' needs. There is a need for individual planning, scheduling, decision-making and an ability to present the library and its service philosophy to clients. In fact it is often advisable to have an annual program plan prepared either for each service area or client group. Working through this planning process for a coherent array of services, the librarian should gain an understanding of the organization's overall philosophy and functioning, and of the value of his or her work within that whole. The different functions which the staff member performs provide variety and many challenges to continue to face in the continuing enhancement of skill in each service area, and in exploring ways to combine various services effectively.

Task orientation is available through work with clients and colleagues to achieve the goals which have been specified during the planning process. For the library staff member in an integrative work situation there is the potential for much valuable feedback on performance. Faculty and students in the assigned area come to know the staff member and to recommend that person to academic colleagues. The librarian's ability to handle various functions enhances user perceptions of library services, especially when the librarian incorporates new computer technology into the service program.[8] It is not at all uncommon to receive several letters of appreciation each semester, or have faculty express their positive feelings about their subject librarian to library administrators. Similarly, because the librarian is working closely with other staff to achieve the service goals for the various program areas, there are many opportunities for sharing knowledge and providing mutual support. This close work situation inherently contains much interaction with others, and out of this colleagial situation there should be ample friendship opportunities. Therefore all six components of a meaningful and rewarding job are present.

To function well in the exciting and challenging situation which has been described here, certain personal qualities are required. The librarian ne3ds to possess intelligence, initiative, flexibility, an ability to represent the library and its services to user groups with enthusiasm, an openness to new methods of meeting user needs, plus an ability to plan a coherent program, and handle the intrinsic stresses from having many different demands made on them. It is more interesting and personally fulfilling for most people to engage in a variety of functions than to focus only on one task. However, frequent switching among services is tiring and an effort must be made to set priorities so that various duties can be scheduled appropriately.

In summary, the application of some form of an integrative service model can make the library more comprehensible to users and increase the staff's ability to identify user needs and fulfill them satisfactorily. The integrative approach also increases the organization's ability to respond promptly and flexibly to changes in technology and user needs. Thirdly, it can offer an exciting and fulfilling work situation by providing the opportunity for many librarians to plan and implement service programs cooperatively and to see the resulting enhancements in the library's ability to meet its users' needs.

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ORGANIZATIONAL RESPONSE TO A CHANGING ENVIRONMENT
THE LIBRARY'S BRAVE NEW WORLD

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Abstract. The forces that are compelling library administrators to reassess the role of the library in the university are outlined. The implications of adopting the integrated public service model are examined from the standpoint of the structure of the organization and the values held with regard to the provision of public service. Steps that are necessary in a successful change process are discussed.

Keywords. Public service, change process, roles, values, reference, integrated model, organization.

We have heard described today the crisis facing academic libraries as they reposition themselves in a knowledge or information based environment. An integrated public service model has been proposed as a viable approach to the need for role redefinition and the changes necessary in the approach to reference service have been outlined. I will talk about the impact these proposed changes would have on the library as an organization and how the library administration can respond.

Library administrators today are bombarded by calls for a reassessment of the role of the library as it relates to the institution it serves. We are told that the values or beliefs about the quantity and the quality of services to our clientele need to be reexamined.

Librarians such as Kathleen Gunning are proposing changes like the integrated public service model, and others such as Charles Martell are advocating setting a public service agenda, and for providing a better quality of work life for librarians.

The leaders of our profession are telling us that the role of the library in the institution it serves must change as the educational environment and the way education is provided is changing. For example the Chronicle of Higher Education(1) recently listed 24 universities that are members of a consortium that plans to distribute Apple personal computers to faculty and students. All faculty are being encouraged to integrate the use of the computer into their courses. What will this mean for the libraries?

Patricia Battin at Columbia asserts that "the traditional bonds between scholars and librarians have been eroded, and that the function of the research library in the process of scholarly communication is misunderstood by scholars and university administrators who view the library as a storehouse where librarians 'mark and park' rather than as a place which has a scholarly information function within the university."(2) She calls for the librarian to become the "principal university officer for scholarly information" in a restructured university that places the librarian on policy making boards. Richard DeGennaro from the University of Pennsylvania believes that "libraries need to develop new goals and strategies based on new technologies or they risk becoming mere symbols of culture and museums of the book."(3)

Carlton Rochell of New York University states that "Libraries will have to be able to respond to changes as they occur and to take advantage of new opportunities if traditional library values and services are to be available to the citizens of the next decade. Therefore, an organizational structure which assists the acceptance of change is imperative."(4)

Bill Arms,(5) Vice Provost for Computing and Planning at Dartmouth, and Pat Battin envision a future where the library and the computing center work together in developing a scholarly information system for the university that will enable the faculty and students to obtain the information they need for their study and research with the assistance of scholar librarians. From Nina Matheson and John Cooper in the academic health sciences we hear the case made for a "technologically sophisticated library system, radically transformed in concept from custodian to active partner in the management of information."(6) Warren Ilchman, Vice President for Research and Educational Development at SUNY Albany, states that "rather than exclusively being a server of faculty research, university research librarians should accept a more vigorous leadership role where they will make connections between areas of knowledge for their faculty and student colleagues. To the university libraries falls the responsibility for providing the cultural leadership for the university that is emerging."(7)

Library administrators must respond to the changing environment and evaluate the library's role in relationship to institutional needs. The integrated public service model proposed today is certainly an option worth considering as a vehicle for redefining public

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service roles. It has potential, I believe, for meeting the call for scholar librarians through merging the in-depth subject knowledge of the bibliographer who has been building great collections with the reference librarian who has sophisticated information retrieval skills. The model provides opportunities for the faculty and the librarians to develop the collegial relationship that is rewarding for both and greatly enhances the flow of scholarly information in the educational process.

The integrated model is already used extensively in subject divisional libraries. There appears to be a trend toward this integration in many small and medium-sized academic libraries. It is in the large centralized library systems or the main libraries of decentralized systems that the integrated model is less likely to appear.

The structural changes necessary to implement the integrated public service model in a library will vary from simple to complex depending on where the various functions such as collection development or online searching appear in the organization. In some libraries no changes in reporting relationships will need to be made but changes in work assignments will. In others a major reorganization would be needed to bring all the functions together, when, for instance, the subject bibliographers report to a Director of Collection Development or through the Acquisitions Department. The decision to make changes of any kind - in role or function - must be carefully considered.

Like many other formal organizations libraries became bureaucracies during the industrial age. Bureaucracies characteristically are inflexible; have sharp delineations of positions and work in the organization; and relationships, policies, and procedures are formalized and rigid. Oscar Mink, James Shultz, and Barbara Mink give a good analysis of the dilemma in their book Developing and Managing Open Organizations(8) when they observe that "The values, assumptions, and management processes of bureaucratic organizations that have served us well in the past are now becoming problematic. The accountability--even the survival--of bureaucratic organizations is being challenged because of their inability to respond flexibly and appropriately to the needs of their employees, beneficiaries, and environment." The inertia of large, complex organizations like our large library systems makes the bureaucratic organizational design a major constraint that must be reckoned with in any change process.

A second force impeding change is the way work is distributed and the way jobs are designed and described. The larger the organization, the more fragmented the jobs. Position descriptions are written to define narrowly the areas of responsibility and the duties to be performed. The scientific management theories of Frederick Taylor are still very much in evidence with jobs broken down to their smallest units to gain the utmost efficiency. There is much more concern with tasks and jobs than with organizational roles. A result of this attention to the individual tasks performed is the development of specialists doing very narrowly defined jobs. John Rizzo in his book Management for Librarians(9) describes the organizational costs of this specialization: "people may lose their ability to adapt to new conditions or unexpected events. They are virtually incapacitated by their specialty They lose their incentive and ability to be flexible and responsive to new demands." To implement a change such as the proposed model would require the restructuring of jobs and retraining of staff which may lead to resistance to change. Reorganization alters the relationships between groups and between individuals. Many people are comfortable with the status quo and may resist change. Bibliographers may not want to do reference work and reference librarians may not want to do collection development. Resistance to change manifests itself in many ways. Rumors fly, destructive behaviors emerge, and the stress of change causes fear of losing control. Administrators must listen to the resistance and allay the fears.

Library administrators must also evaluate the library's philosophy about the provision of services when contemplating the adoption of the integrated model. What are the values or beliefs of the librarians about public service--reactive, proactive, or client-centered? Reactive service can be characterized as reference service beginning and ending with the interaction between the librarian and the patron at the reference/information desk in the library. Proactive service occurs when librarians work professionally with users in their own interest areas, and initiate contact inside and outside the library. Client-centered service occurs when librarians and faculty jointly develop information strategies based on in-depth knowledge of user needs and wants. Inherent in the integrated public service model, I believe, is library service that is at least proactive but ideally client-centered. Librarians hold different opinions about what is an appropriate level of service. Agreement should be reached before embarking on a new model.

We see then that library administrators must respond to the external forces that are mandating change and to internal demands that are pressing for change while others favor the status quo. These compelling and constraining forces must be analyzed carefully in light of the local library situation before a decision is made to adopt a new model of

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service. The decision to adopt the integrated public service model could easily send shock waves through some of our large university library systems not unlike the tremors caused by the court ordered divestiture of AT&T. We now have decentralized telephone service. Does it serve us better? Time will tell. Can libraries handle decentralization and reorganization of public service, reach the goal of becoming truly client-centered, and at the same time improve the quality of work life for the staff? That may well depend on the process used to implement the change.

An absolutely vital ingredient for a successful change process is a leader in the organization with a vision of where this process will lead and the ability to articulate the vision. Ideally the library director would be this motivating force. It certainly must be someone with enough influence in the organization to implement programs and gain support for the change at all levels. This person must become a "transforming leader." Nina Matheson and John Cooper(6) state that "the major barrier to change is often not a love of the status quo but the lack of a clear picture of where[the change] leads.... Without a vision of the goal, and a concrete demonstration of feasibility, fruitful change is difficult to initiate." The leader must never lose sight of this vision.

Conducting a self-study that analyzes the client's expectations of the library and the educational environment in the university along with a self-study of the library's organizational structure, functions, and values of public service is a way of analyzing the need for change. Talking with the administrators, faculty and students may reveal some startling scenarios for library services like those articulated by Bill Arms and Warren Ilchman. We can learn from our users. In the case of the integrated public service model involving not only the possibility of restructuring the organization but also a change in service philosophy, an "institutional self-study is a critical first step in initiating a long-term evolutionary change through a discreet, manageable, and pivotal change within the library," according to Matheson and Cooper.(6) Mink, Shultz, and Mink state that "whatever the organization's needs, development begins by appraising where the organization is, where it wants to be, and by progressive accomplishment toward goals."(8)A project planning team composed of library staff, representative of the groups affected, could be charged with assessing the current environment of the institution, the climate for change, the internal structure of the library, and the available human and financial resources. This group should also identify goals to be met by the change, outline the future organization, design jobs, assess the risks, and develop a strategy for implementation. Mink, Shultz, and Mink(8) describe the diagnostic review as a "method of getting people to talk with each other about common organization problems, growth areas and goals. It raises awareness of discrepancies between the present situation and what people want their organization to become. It clarifies values, renews purpose, sets goal priorities, and motivates change toward a more open organization."

The results of the self-study should reveal the changes that are needed to enable the library to assume a scholarly information role in the institution. We on this program today believe the need for an integrated public service model will emerge from such a self-study of the library and the institution it serves. The specific changes necessary to implement the model will vary from library to library depending on the extent of integration of the various components of the model already in place. Most libraries deciding to adopt the client-centered integrated public service model will need to make changes and since I believe the process used to implement change of any kind is very important, I would like to spend some time talking about the steps involved in a change process. The essential steps in a change process are (1) to analyze the need for change, (2) plan for the change, (3) implement the change and (4) evaluate the results. It is, of course, possible for the library director to mandate the change but there is a great risk of failure in this method. Moving groups of people around on the organization chart is simple on paper but difficult to implement in real life. The methods used by administrators to institute change may, in fact, be more important in determining the future role of the library than the change itself.

The first step in the process, analyzing the need for change, can be accomplished through the self-study already outlined. The next step in the change process is the very important planning stage when it is vital to be cognizant of the implications of the effect of change on the psychological and sociological systems operating in the library. Relatively simple changes such as moving the location of a person's desk may, in fact, have a profound effect on that person's working life. If at all possible, future shock--"the dizzying disorientation brought on by the premature arrival of the future"(10)--should be avoided by careful planning. During this planning period as many people as possible should be involved in determining what is the desired result of the change, developing a strategy for achieving the change, and designing the work, individual, and organizational configuration needed to implement the change strategy.

The third step in the change process

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is the implementation phase when the transition from the old to the new occurs. This is a critical time and should be recognized as a distinct situation to be managed with care. Michael Malinconico advises that "during the transition there will be great anxiety and uncertainty. It is, therefore, important that management be certain to communicate as clearly as possible an image of the intended future state."(12) In large library systems it may be possible to use a prototype of the integrated public service model to demonstrate its feasibility. Utilizing staff who are enthusiastic about the client-centered model to try it for a year allows everyone to evaluate its success or failure. A good description of the use of a prototype of the integrated public service model can be found in Charles Martell's The Client-Centered Academic Library.(11)

It is during the transition period of change from the old to the new that resistance to change is likely to arise and need to be accommodated. We have all experienced this phenomenon and it is a popular topic in the current literature. People resist change for many sincere reasons. They are comfortable with the status quo because they have learned how to cope with it and it is a familiar condition. Fear of the unknown causes anxiety. Individuals forced to change may feel they have lost their autonomy and self-control. There are those who may honestly feel that the old way is better than the new way. The integrated public service model with its recommendation that subject specialists or scholar librarians do collection development and provide in-depth reference service including bibliographic instruction and online searching in their fields of expertise will, I believe, be resisted by some librarians. Subject bibliographers accustomed to spending all their time selecting books and other library materials will assert that the collection will suffer because their time is taken up by other activities. Reference librarians, on the other hand, will argue that answering requests for information is a full-time job and they don't have time to take on new activities at the expense of their clientele. These are legitimate concerns and should not be ignored. I don't have all the answers to these dilemmas and neither does the literature which suggests that we need to motivate people to change by (1) identifying mutually recognized problems with the status quo and communicating a clear picture of where we want to be in the future; (2) getting people to take ownership of the change by actively participating in the planning and implementation process; (3) by building in rewards in the change process resulting in a better quality of work life; and (4) by giving people time to adjust to the loss of the comfortable present and time to adapt to the new state.

To implement change effectively, the participants must have nearly equal power to influence the change process. Michael Malinconico states in his aricle "Listening to the Resistance"(12) that "For participation to be effective there must be an equalization of power. Equalization of power implies that participants in a change process are given equal or almost equal ability to influence the nature and direction of change as is possessed by the agent seeking to initiate the change." For example, library administrators can articulate the goals and the overall organizational framework for the change but leave to the librarians to work out the details of how the change will be implemented including design of jobs, reporting relationships, and training programs.

The final step in the change process is to evaluate the results of the changes that have been implemented. David Nadler in his article "Managing Organizational Change,"(13) lists four criteria for judging the success of managing organizational change:

1) The organization is moved from the current state to the future state

2) The functioning of the organization works as planned

3) The transition is accomplished without undue cost to the organization

4) The transition is accomplished without undue cost to individual organizational members

Today we have addressed the need for changes in the organization of libraries and their relationship with their clients, an integrated public service model has been proposed, and the responses from the reference department and the organization have been outlined. Libraries must respond aggressively to the changing environment around them. The integrated public service model is a step toward the assumption of the library's appropriate role in the scholarly information process. Implementing change is not without risks but handled sensitively and carefully, the result can be a far superior service organization.

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Public Services in Research Libraries: Today's Realities

Introduction

(Duane E. Webster, Director, Office of Management Studies,
Association of Research Libraries).

Public Services are those services in libraries where users are expected to have direct contact with library staff and library resources. These services typically include, but are not limited to, reference, catalog information, circulation, bibliographic instruction, computer literature searching and interlibrary loan. These public services are very visible to users and easy to observe, yet difficult to measure and evaluate systematically. The staff providing these services is increasingly pressed, not only to continue them, but also to develop new services often using computer technology for increasingly sophisticated and demanding users whose needs are changing.

From this milieu came the interest of ARL directors in using the assisted self-study format to address key questions confronting future development of public services. These questions include:

o What are the pivotal information needs of the scholarly information user and how might they change over the foreseeable future?

o How can the role of the research library within the academic community be strengthened and extended?

o Should traditional public service be reconfigured in light of user demands, available technology and staff potential? What are the major options for service delivery in the next 10 years?

o Can we determine when the library is successfully meeting its public service objectives and obligations?

o What are the economic implications of maintaining as well as introducing specific public services?

o What added information on user behavior, service delivery options, staff capabilities and operational costs should be added to the library's planning process?

o Who should be involved in the process of considering public services strategies, options and priorities?

ARL's Office of Management Studies sought and received a major grant from the General Electric Foundation to develop the self-study format to assess public services strategies and priorities in research libraries. This method was adopted because:

o it provides a systematic and structural approach for comprehensive review and planning activities.

o it encourages responsible staff involvement in the consideration of issues central to the future of research libraries while maintaining the responsibility of library administrators for decision-making.

o it heightens staff commitment to the outcomes and to implementation.

o it is a tested design that has led to quality recommendations for change and improvement in other library programs.

The assisted self-study developed by OMS is carried out by a Study Team of 7-9 staff members chosen by the Director from all parts of the library. The Study Team conducts a review of the current situation, gathers background documents on the multiple environments in which the library operates, creates planning assumptions, identifies the major issues for further study and appoints task forces to study these issues in some detail to make preliminary recommendations. The Study Team writes a final report containing its recommendations which may or may not incorporate all task force recommendations. The final report and all task force reports go to the library director. This format provides the opportunity for wide staff participation with top management support and outside assistance from OMS staff who provide a format, resources and process consultation as needed.

The purpose of this panel presentation is to give participants in the developmental phase of public services assisted self-study an opportunity to describe and assess some of the uses, outcomes, benefits and shortcomings they discovered through the course of their studies.

Each of today's speakers chaired a Study Team in one of the 7 ARL libraries (see summary appendix) selected through a competitive process to do a public services self-study supported by funds from the General Electric Foundation Grant.

The first speaker is Clifford Haka, Michigan State University. He will discuss the usefulness of the assisted self-study in facilities planning.

Next Paula Kaufman, Columbia University, will discuss the multiple uses of the information and analyses from a self-study.

Nancy Huling, University of California, Riverside, will speak to the staff development aspects of an assisted self-study.

Then Karen Seibert, University of North Carolina, will analyze the various factors involved in starting a public services self-study.

Pat Swanson, who took a year's leave of absence from the University of Chicago to serve as project coordinator will close with an explanation of the very considerable influence that the test libraries have had on the final design of the self-study and its resource materials.

We will use the remaining time for questions and comments from the audience.

FACILITY CONSIDERATIONS IN A PUBLIC SERVICES SELF STUDY

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Abstract. The physical layout of a library is infrequently reviewed, eliminating the possibility of substantially improving library service via physical rearrangement. Suggestions for conducting such a review and types of improvements that can be realized via rearrangement are discussed.

Keywords and Phrases. library buildings
facilities review
public services study

A review of library facilities, defined here as "the actual and relative positioning of units within the library building," is usually conducted when one of two situations occurs. The first is when the physical structure, including such items as heating, lighting, plumbing, roofing, etc., exhibits signs of serious deterioration. The second is when the space required for effective operation and continued growth has been, or is about to be, exhausted. These two situations, deterioration and insufficiency, do not, however, necessarily compel a comprehensive review of the physical layout. Deterioration is frequently addressed by episodic replacement and repair, while insufficiency is often handled by reducing the seating capacity, establishing off-site storage facilities, utilizing compact shelving, or some combination of these strategies. Therefore, except in cases where a total renovation, a substantial addition, or a new building are undertaken to address deterioration and/or insufficiency, a comprehensive review of the physical layout is seldom done.

Why is it that such reviews are not conducted? One possibility is that organizations typically review only problem areas and facilities, unless they are inadequate or deteriorating, are not perceived as a problem. Physical rearrangement can, however, be a solution. An example from the OMS Public Services Assisted Self Study conducted at Michigan State University will illustrate this point. At the beginning of the study an extensive investigation, which consisted of more than 600 questionnaires, a review of several years of suggestions by staff and users, and numerous interviews, was conducted to ascertain problem areas for investigation. In spite of this massive effort, and the fact that serious overcrowding in the MSU Libraries has resulted in a less than ideal layout, little if any support for a facilities review was generated. Due to the insistance of the Study Team chairperson, however, a Facilities Task Force was established and it produced several of the most significant recommendations generated by the Study. So it might frequently be the case that facility reviews are bypassed due to the inability of individuals to perceive the physical layout as a problem or to view physical rearrangement as a solution to other problems.

A second reason that such reviews are not conducted is the assumption that even if a superior layout could be determined, the benefits obtained could not possibly justify the costs involved in a physical reorganization. While it is true that the costs involved in the physical relocation of collections, service desks, and work areas are substantial, the benefits can be significant and, more importantly, their impact will accumulate over the years. For example, the renovation of Watson Library at the University of Kansas saw the book return moved from the second floor (!!) to a location only a few feet from the entrance. The obvious result is that users needing to return materials save time and effort, while the amount of traffic in the Library is reduced, thereby producing an improved Library atmosphere. Although only arbitrary monetary values could be placed on these benefits, prohibiting a meaningful cost/benefit analysis, it is clear that a significant improvement was made, the positive effects of which will be accrued for years and probably decades to come. Therefore, out-of-hand dismissals of facility reviews due to "obvious" cost/benefit imbalances may be inappropriate.

A third possibility is that most people do not like to get involved in projects for which they have no training and/or experience. Physical design of a library is such an area for many librarians.

There are, of course, many other reasons why such reviews are avoided. Most of them are as erroneous as the ones already discussed. For those remaining skeptical let me suggest the beginnings of a checklist. How many of the following events have occurred at your library since the last comprehensive facilities review?

1) Closing of a card catalog.
2) Automation of the circulation system.
3) Introduction of new services such as data base searching, typing rooms, computer facilities, lounges, etc.
4) Change in bound and/or unbound periodicals arrangement.
5) Introduction of a new circulation policy.
6) Change in curricula of the institution.
7) Change in user behavior.

Although the existance of one or more of the factors on this abbreviated list does not necessarily demand a physical rearrangement, it might point to the logic of considering a review process. Reflect, if you can, on the situation in your library the last time a significant review and alteration of the layout was undertaken. Then list the changes that have taken place since that time. Has the layout responded to these changes in a logical and responsible manner? As a means of comparison, consider the relative frequency with which your library has altered its personnel organizational structure. One might be drawn to conclude that the logic for change is similar in both areas and that organizational change is accomplished more regularly because implementation involves only "white-out" and a typewriter.

Hopefully this discussion will spark some interest in a facilities review even in the absence of the compelling forces of deterioration and insufficiency. If so, how does one go about a facilities review when monies for construction are not anticipated? In undertaking such a review it is essential from the outset to advise the group conducting the review to avoid pinning all of the recommendations on the assumption that a major addition or a new building is the only viable solution. This is a trap that will preclude serious consideration of possible alternatives within the existing structure. Clearly, the investigative process might produce data that can be used to support a building program, and such a recommendation is appropriate to make, but the process must move beyond this to a distinct analysis of the use of existing space. This approach must be made clear when the assignment is given. When one reflects on current economic conditions and the probability that the era of the ever-expanding physical library may be coming to an end, such a guideline is both necessary and realistic.

Of equal importance is the setting in which such a review occurs. A review in isolation of current library activities, anticipated changes, and long-term planning cannot produce viable recommendations for effective change. It is necessary, therefore, that representation and/or input from all library operations be included in the process in order to provide for the careful review of existing operations and anticipated developments. This is, of course, the general schematic for the OMS Public Services Assisted Self Study. While this process worked quite well at the Michigan State University Libraries, it did exhibit one serious problem in regard to facilities review --how does a public services study logically address the physical placement of technical services? At MSU, as at many Libraries, the technical processing units occupy prime space on the main floor which, if vacated, could be assigned to public service units that might be better located close to the major public service units already on the main floor. However, the political climate of the public services study essentially precluded the realistic assessment of such an option. A possible solution would be the concurrent establishment of a committee outside of the Public Services Study to address the specific question of the future location of technical processing units.

Whatever the charge and the setting of the review, the initial impulse is to find some blueprints, erase all of the existing departments and commence to relocate departments at random, with particular emphasis for placing the departments of committee members near windows! This is not the best strategy. Two tasks, which can be conducted simultaneously, need to be completed before specific layouts are devised. One task is to gather data on needs of individual departments. This will include at least the following:

1) Existing square footage occupied by the department.
2) Anticipated changes within the department that will affect square footage requirements, and the projected amount of change.
3) Necessary physical relationships to other departments and library tools such as the card catalog.

The other task is to develop a list of guidelines for locating departments within the building. These guidelines are essentially principles that are used to assist the committee in choosing between competing claims for specific areas. For example, one of the guidelines established for the Watson Library renovation was"placement of heavy traffic and major public service areas on the main floor." While such a statement might appear obvious and unnecessary, this one was called forth to adjudicate a battle over whether or not technical services would be located on the main floor with the public catalogs. Failure to establish such guidelines will almost certainly result in a myriad of competing options from which an objective selection is difficult or impossible. Put another way, these guidelines describe what it is that the library would like to accomplish through rearrangement. As in any other process, if the goal is not clear, significantly different approaches will be forthcoming, generating debate, ill-will, confrontation and, ultimately, no reasonable agreement or support for change. These variant plans typically arise because different individuals are addressing different goals. This difficulty can be minimized by generating goal congruence at the outset.

Once these two components, departmental requirements and guidelines, have been established, consideration can be given to the specific location of individual departments. If the review is done within the framework of a larger study, such as an OMS Public Services Assisted Self Study, this is the time to seek guidance on decisions being made elsewhere that might impact on floor layouts. If the timing of the facilities review exactly coincides with other investigations, these decisions will not be available and the report will have to be modified when other decisions are known. To avoid this, the facilities review can be timed to end after the results of other investigations are known, or the coordinators of the study can modify the facilities report to incorporate other recommendations. If practical, the first option seems preferable.

In developing prospective layouts, the review team must take the departmental requirements, anticipated changes, and the guidelines into consideration simultaneously. As difficult as this obviously is, there are several factors at work that make it worse than imagined:
1) Being part of the existing library staff, the members of the review team are typically comfortable with the current arrangement and may be unwilling or unable to formulate and/or accept alternative arrangements.
2) Most of the data gathered from department heads will significantly overstate the needs of that department, both in terms of square footage requirements and the necessity to be located in proximity to other units and library tools.
3) Members will be tempted to become advocates for the positioning of their individual departments.
4) Members inexperienced in such design projects will be hesitant.
5) Members will naturally assess the workability of various layout from the staff point of view, frequently failing to analyze the impact on users.

Recognition of these factors will assist in controlling them. Beyond that, several specific steps can be taken:
1) When appointing review team members, check for experience in physical planning operations and attempt to include individuals with such experience. Also, attempt to select a few new staff members who will not be as tied to the existing arrangement. It might also prove useful to include, or at least get the reaction of, library users. Be aware, however, that individual faculty members and students typically view library organization from an extremely limited perspective - i.e. - the way they would like the library arranged to facilitate the exact manner in which they conduct library research. This perspective is unlikely to be representative across the user population or across disciplines. So process faculty and student input with this in mind. The use of an outside consultant can also be considered.
2) Team building exercises should be conducted to encourage good team dynamics. A review process of this magnitude cannot be successfully conducted by one or two individuals, a team approach must be carefully developed.
3) Start by giving participants blank floorplans and allow several days for the generation of two or three options by each member. Then meet to compare and discuss. This should encourage participation by all members.
4) Strongly discourage individual members from overparticipating in discussions relating to their own departments. In particular, members must not be allowed to veto a proposed location for their department by simply insisting that the location is unworkable.
5) The review process must include a careful examination of the demands for space by individual departments. In a situation where no overall additional square footage is anticipated, the goal should be to lay out departments more efficiently in order to assign less space than is currently occupied. This will be particularly difficult when discussing the departments of review team members.

If a workable process is developed, what specific improvements might a facilities review generate?
1) A more "user friendly" arrangement.
By locating heavy use services near the entrance, separating study areas from noisier activities, locating related services in reasonable proximity, and other such actions, a setting in which library users can more readily use the facility can frequently be achieved.
2) A more efficiently staffed operation.
It is often possible to combine service points, or at least locate them in such a way that staffing can be reduced, particularly during slower times of the day or year. Given the recent trends in staffing support, this can be a particularly fruitful area of investigation.
3) A more efficient use of available space.
Although construction of additional space is not considered here, it is almost always possible to identify a certain amount of unassignable or unusable square footage in a facility. This would include areas such as hallways, walkways, areas too close to service desks or noisy areas to be assigned to other functions, etc. Careful attention to minimizing such areas can result in additional room for library operations. For example, working in a structure that had a gross square footage of 190,000 square feet, the renovation of Watson Library resulted in an increase in net assignable square footage from approximately 145,000 to 155,000 square feet, or an increase of nearly 7%.
4) A more appropriate assignment of space.
No department functions in exactly the same manner now as it did when its current allocation of space was made. It might need less space (although most department heads would deny this even if it were true), or it might need more. Whatever the case, rearrangement should help to bring space allocations in line with current needs.

In conclusion, a library is made up of its collection, records, staff, and the physical structure that houses the first three. Consider whether or not reasonable attention has been given to this last component, which sets the parameters within which the other three components must function. There may be considerable opportunity for improvement.

THE MULTIPLE USES OF THE INFORMATION AND ANALYSES GENERATED BY A SELF-STUDY

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Abstract. The Public Services Self-Study at CUL has generated an enormous amount of information critical to its current and future activities. The information gathered by a group which explored anticipated changes in scholarly research and communications has stimulated significant and creative thinking in these areas, as a result of which the Study Team has considered a number of issues which it believes are critical to the successful delivery of library and information services in academic research institutions over the next decade. Among these issues are equitable service delivery, access to information products not available physically in the library, the library's role in providing guidance, advice, and training for an increasing number of diverse sources of information, and the library's role in the development and implementation of an integrated academic information management center.

Keywords and Phrases. Public services. Information access. Information gathering: processes. Planning.

INTRODUCTION

Columbia University Libraries (CUL) made the decision to participate in the pilot stage of the Public Services Self-Study Project after careful consideration and for a complex variety of reasons.

Columbia's previous experience with the ARL-sponsored study prepared by Booz, Allen & Hamilton, Inc. was an extremely positive one which made profound changes in the organization's structure and operational effectiveness. These changes formed the organizational foundation which enabled CUL to successfully meet the challenges of the past decade. The opportunity to participate in a similar activity which promised to result in improving the capabilities of public services activities to best meet the changes and challenges of the future was, indeed, a very exciting one. Thus far (the study's final report has not yet been completed), we have not been disappointed.

The recent successful integration of computer-based technologies into technical services activities marked the end of the need for the institution to focus most of its energies on that sector. That achievement has enabled the Libraries to concentrate its efforts on evaluating the current level of effectiveness of its public services activities and to plan for the identification, prioritization and delivery of services in the future. CUL management feels strongly that the development of mechanisms for continuing evaluation and planning in these areas is the top priority of the self-study. CUL also considers that the development of reliable user information, the design of a process to monitor service priorities in order to cope with changing levels of demands and resources, and the opportunity to increase the staff's knowledge of emerging opportunities and choices for improving service capabilities are important study objectives.

NEED FOR INFORMATION AND ANALYSES

The events of the last year, since the initiation of the self-study with the establishment of the Public Services Self-Study Team (PSSST), have underscored the need for the fulfillment of these objectives and for the information and analyses the study has and will generate. During this period the Libraries has planned and implemented an online public access catalog (CLIO: Columbia Libraries Information Online), eliminated 21 full-time positions from its roster in response to University budget pressures, prepared a very exciting proposal based on a conceptualization of the Libraries' role in providing access to information in a variety of formats and media, and developed a formal planning effort in the Services Group.

Although these activities were carried out successfully, some of the information and analyses subsequently generated by the self-study would have facilitated the processes. For example when a small group began the design of the CLIO user interface, it realized that information about who uses and doesn't use the Libraries (and why), how those who use it do so, how library users looked for materials, how successful they were in locating what they wanted (and why), and especially how successfully users accessed the card catalogs and in-process finding tools (and why) was essential to designing an effective user interface.

Unfortunately, that data (which have now been generated and are being analyzed as part of the selfstudy activities) were not yet available. Instead, the group made the decision to do a "quick and dirty" survey of a variety of users; much of the interface design is based on the results of this activity. Only time, and various feedback instruments, will tell how successful these first attempts are; the group's confidence level, however, would have been raised considerably had it the more solid data the self-study is only now producing.

INFORMATION GENERATED BY THE SELF-STUDY

Although Columbia's self-study has not yet been completed, it has already generated much useful data and analyses. The study's Interim Report[2], a lengthy two-part document, provides a great deal of information about the University, CUL, and the interrelationships of the two. Much of this information had not been available in a clear, organized, convenient manner before and it has already proven to be invaluable for grant proposal preparation, personnel recruitment, and staff orientation activities. The section on "Current Developments in Research Libraries" has provided the background on which much of the conceptual work of the Study Team has been based.

The second part of the Interim Report presents an extensive inventory of public services (including activities, staffing, and policies) in all of the Libraries' 26 units. The Services Group has made extensive use of this information to identify areas where system-wide policies needed to be developed and/or articulated, to examine staffing patterns and levels of services provided, to identify innovative services and uses of resources currently being made, and to identify base-line information for an extensive space planning effort which is just now being implemented as a separate activity outside of the self-study.

THE INFORMATION COLLECTION PROCESS

The current stage of the self-study has used much of the information generated for the Interim Report to examine a number of key issues the Study Team identified early in its work. The information-gathering processes which most of the Task Forces used involved surveying a large percentage of the Libraries' public services staff on a number of issues about which most had concerns - and opinions. These issues ranged from the value to public services of the Libraries' participation in cooperative arrangements to ideas about improving communications between front-line public services and non-public services staff. The very process of information-gathering has served as a valuable staff development tool and, of course, it has generated some very creative ideas.

INFORMATION TRENDS

Information gathered by a group which explored anticipated changes in scholarly research and communications has stimulated significant and creative thinking in these areas. In-depth interviews with a number of faculty members in a wide variety of disciplines, surveys of selected academic departments, and an extensive review of the literature have provided insights to the identification of expected trends in these areas. PSSST, in turn, has considered a number of issues which it believes are critical to the successful delivery of library and information services in academic research institutions over the next decade.

The clearest trend which has emerged from this work is that although some future directions of scholarship and scholarly communications, and their relevance for research libraries, are clear, the roads are many, are of various types, and are intersecting; the terminus cannot always be seen clearly since it is constantly changing.

A great deal of this change is influenced by the convergence of computing and communications technologies and it will have profound effects on library services. These, however, will differ widely among disciplines and among levels of users. The Libraries' challenge will be to deliver resources and services to each part of its user population in an equitable and useful manner.

Recently published articles and discussions between library professionals and information users have focused both on the impact of technology on information availability and access and on the problems faced by both because of the enormous proliferation in information sources. Traditionally, research libraries have provided access to published literature which, for the most part, has been acquired, stored, controlled bibliographically, accessed, and made available for use on a local basis. It seems quite clear, although the time-table is not as evident, that in the future libraries will also provide access to machine-stored and machinereadable information as well as to technology-based tools which will aid in the production of derivative products (e.g., down-loading facilities).

The information gathered and analyzed by the PSSST group that explored anticipated changes in scholarly research and communications revealed some interesting and specific trends which can be expected over the next five years:

* The creation and use of machine-held data files will increase substantially in the future, expanding scholarly output as such files

- are copied and analyzed for purposes secondary to those for which they were originally created,

- allow the gathering, manipulation, and analysis of data in ways not possible before, and

- allow verification of original research results by reanalysis of primary material such as field notes and interviews.

* Certain kinds of data will be available only in machine-held files and never enter the archives of print materials stored in libraries. Although similar types of material (informal notes, telephone conversations) were never published in print form before, machine-based files will preserve much more data that were generally unavailable to other scholars in the past.

* Text editing capabilities wil simplify the production of books and articles and will facilitate scholarly collaboration. The ease of producing reports of scholarly activities may increase their production, although this remains to be seen.

* Scholarly collaboration may involve the use of software to control experiments or analyze results in several different laboratories or institutions. The development of such software may be considered part of a scholar's contribution to his or her field of research and disseminated as are other research results.

* For the foreseeable future, the final results of scholarly research will continue to be published in monographs and the traditional refereed journals of the various discplines. Although the trend toward increased availability of full-text online journals and reference materials may continue, there is no indication at present that scholars are prepared to accept them as a substitute for print materials.

* The creation of computer-assisted (or based) instructional programs, dissemination of lecture notes as byproducts of files of this material in text editing machines, and the creation of online files of "reserve" readings to replace materials now in library reserve collections, may facilitate fulfillment of the faculties' instructional responsibilities and reduce the time needed to meet them.

* The creation and marketing of software for personal computers will allow the easy development of personal bibliographic files, the creation of bibliographies for purposes of citation, and gathering references to introduce students to the literature of a field. It is likely that more and more faculty members and researchers will begin to create such files in the next few years. It is also likely that a portion of the material in these files will come from records downloaded from commercial bibliographic data bases.

* It appears likely that within the next five years networks of scholars working within the same narrow research areas may establish and maintain files of full text articles, preprints, information communications of research results or ideas, and bibliographic citations and abstracts relevant to their subject interest.

* At Columbia, a University-wide network of electronic workstations, for both faculty and students, seems likely; this would facilitate both the instructional process, as faculty and students converse with each other via terminal with mutual ease and convenience, and intra-university scholarly communication through such networks as BITNET.

- With CUL's online public access catalog and a possible circulation link in place, scholars will have access to a growing portion of the Libraries' holdings from many locations across the campus and even from their homes. As a result, demand for document delivery may develop, as well as demand for other similar online files (the Bookstore's inventory, for example).

Faculty interviews and observations also confirmed that scholarship appears to be moving in two simultaneous directions, both of which have profound implications for library service. The move towards increasing specialization within specific subject areas creates demands for access to a narrow but in-depth collection of data and other information resources. The move towards interdisciplinary approaches to even some rather narrow subjects, however, creates demand for access to a wide body of resources, often historical in nature. In addition, the scholarly methods acquired and developed over many past generations of scholars in such disciplines as history or literary analysis will coexist with methods developed to take advantage of the new technology. Browsing among books as a source of scholarly discovery will continue to be used by scholars also accessing machine-based resources. Scholars with differing needs will require the same information to be available and delivered in different formats. For example, at CUL, Chemical Abstracts is now available in traditional printed format, it can be searched online by a trained librarian, and it can be accessed online directly by any member of the University community with the appropriate equipment and knowledge.

These trends create a major challenge for service components of research libraries: to provide access to and information about all available resources through a single access point, to deliver these sources in an equitable manner to the entire University community, to provide useful levels of guidance in accessing and using these resources, and to serve as the University's gateway to the past, present, and future. At Columbia, PSSST envisions that the Libraries' own catalog will be at the heart of this resource and that it will be linked to the outside data base of which it is in one sense a subset: the Research Libraries Information Network (RLIN). RLIN lists the holdings of all of its members and provides access to various other specialized resources like the Eighteenth Century Short Title Catalog, the Avery Index, and others. The system will also be linked to other data bases and resources, some of which are commercially vended and others of which are locally produced.

CONCLUSION

The next step in PSSST's analysis is to consider a number of related issues which must be addressed if the delivery of public services at Columbia is to be useful in the future:

- Provision of an equitable level of service (whether "free" or charged back) to a group of scholars whose needs for resources is converging in some areas and diverging in others and whose use of technology is developing at different paces and for different purposes.

- Provision of access to a wide range of information and information products not physically available in the Libraries. The role of the Libraries in providing tools (e.g., SPSS), documentation, training, guidance, and assistance in selecting and using such products.

- The role of the Libraries in providing guidance and advice about an increasing number of diverse sources of information, the availability of online searching, and other electronic information types and research methods and in encouraging the users themselves to play a more direct role in desigining and executing searches.

- The role of the Libraries in providing users with the skills to access online files and to use data therein to create personal data bases, without the help of an intermediary (librarian).

- The role of the Libraries in dealing with and educating users about the complex issues of copyright respect to downloading from data bases.

- The role of the Libraries in distributing faculty lecture notes and other "reserve" materials online.

- The role of the Libraries in the development and implementation of an integrated academic information management center.

- The role of the Libraries in articulating academic needs and conerns on several important issues both within the University and within the broader scope of the information industry and scholarly community at large.

These issues and others are part of the complicated set of questions which must be addressed if library service is to continue to be effective in the future. As can be seen from the above, the self-study is generating an enormous amount of information and analyses critical to these points. Because the activities of public service units underpin all other components of the library as well as on all major components of the University and the academic community at large, the questions they face are complex and difficult to solve. The current self-study has provided the opportunity for the public service units of CUL to focus their attention on these critical issues and to begin the complex planning activities needed to achieve some effective solutions.

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STAFF DEVELOPMENT THROUGH THE PUBLIC SERVICES SELF-STUDY

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Abstract. This paper examines the extent to which the process used in the Public Services Self-Study, a program of the Office of Management Studies of the Association of Research Libraries, plays a role in staff development.

One year ago today the University of California, Riverside embarked on the Public Services Self-Study. It has been a long year, at the same time exhilarating and frustrating. The study was completed last week with the submission of the final report of the Study Team to the University Librarian.

Throughout the Study I often wondered whether the process used to conduct the study contributed to staff development, and if so, how. I felt that surely a project of such intensity and duration would contribute in a positive way to growth and understanding about the library for the library staff who participated.

The purpose of this paper is to share with you the extent to which the self-study process plays a role in staff development. The paper is organized into the following sections: 1. Definition of staff development and self-study objectives as related to staff development. 2. Difference between traditional staff development and the focus of staff development through a self-study. 3. Analysis of whether or not the results of the examination of the self-study process supported the objectives stated in the manual. 4. Did the results support the philosophy of the self-study process? 5. Conclusion.

DEFINITION OF STAFF DEVELOPMENT AND SELF-STUDY OBJECTIVES AS RELATED TO STAFF DEVELOPMENT

Staff development as defined by Barbara Conroy is a "purposive effort intended to strengthen the Library's capability to fulfill its mission effectively and efficiently by encouraging and providing for the growth of its own human resources. It affirms the ability of both the individual and the library to grow."(1) The basis for my exploration of staff development through the self-study are the related objectives outlined in the draft manual for the study provided by OMS. Those objectives are: 1. To increase the problem-solving capabilities of the library staff, and to expand their abilities to deal more effectively with the increasingly complex aspects of services. 2. To increase the library staff's knowledge of current developments and emerging opportunities for improving the services capabilities of the library. In addition to the objectives, an assumption stated in the manual is that "a self-study develops staff understanding, problem-solving skills, a heightened awareness of service philosophies, and a commitment to act on needed changes." The objectives and the assumption clearly fit into Conroy's definition of staff development. The self-study approach promoted by OMS places considerable emphasis on group process as a means of providing for the growth of human resources in libraries. In learning to work in groups, individuals must learn to balance the attention to process with the desire to realize the product.

DIFFERENCE BETWEEN TRADITIONAL STAFF DEVELOPMENT AND THE FOCUS OF STAFF DEVELOPMENT THROUGH A SELF-STUDY

Traditional staff development emphasizes programs designed to improve the individual's skills through specific learning experiences. Generally, the individual is a passive learner who must take what is learned in a classroom-type environment and apply it to specific work situations. The focus of the development may be on orientation to the job or to other functions within the library, training related to new library developments such as technology or AACRII, and development activities such as managerial skills or time-management.

The self-study approach differs from these types of staff development in that it creates an active learning environment sustained over a long period of time. Participants interact in a "real" situation, utilizing group process skills to reach a consensus in solving problems.

Two factors influence the success of group process as an approach to problem solving. In the active learning environment established, the individual plays an important role. Each staff member is responsible for bringing to the group a positive attitude and a willingness to learn. A reluctance on an individual's part to participate can lead to group fragmentation and frustration. The group is successful in its work only in so far as each member contributes. The climate within the organization for learning is the second crucial factor in group success. As one of the task force members noted: "Some of us are motivated toward development by different forces (internal, professional, careerwise) but overall it is the climate of support and encouragement or the lack of a positive climate which must surely make the difference in the end." The library and the individual must share a commitment to the group process approach as utilized in the self-study method in order for the approach to be beneficial as a staff development exercise.

ANALYSIS OF WHETHER OR NOT THE RESULTS OF THE EXAMINATION OF THE SELF-STUDY PROCESS SUPPORT THE OBJECTIVES STATED IN THE MANUAL

In order to determine whether or not the staff development objectives of the self-study were met, I administered a survey to all U.C. Riverside Library staff who participated in the Study. Of the thirty-two (32) questionnaires distributed, twenty-nine (29) were completed. Did the survey results support the objectives for staff development presented in the self-study manual? The answer is yes.

Of the twenty- nine (29) respondents, seventeen (17) felt that their problem-solving capabilities were developed or strengthened. Comments indicated that group problem-solving skills were encouraged and strengthened in task force meetings. One individual noted that "the use of group input into a problem or their comments on a proposed solution proved to be a most useful tool." Other comments mentioned gains in techniques utilized for problem-solving. One library assistant perspicaciously observed: "I was surprised that there wasn't more out-and-out conflict in our group. There perhaps wasn't the development of problem-solving skills there could have been due to a lack of conflict."

One of the survey questions asked participants to note skills that were developed or strengthened. The following results were obtained:

Ability to work in a group	18
Leadership skills	5
Ability to compromise	12
Problem-solving capabilities	15
Active listening skills	18
Other	4
No skills developed or strengthened	4

Those who responded "other" identified skills working in a politically charged situation, developing an improved patience quotient, seeing another person's point of view, and learning from the diplomatic skills of the chairperson.

In addition to gains in the specific skills cited, there emerged some less tangible, long-term benefits. Several staff members pointed to an increase in self-confidence. As one participant put it: "I became less of a mushroom." The same individual noted a lessened inhibition in talking to a group: "It was pleasant to discover that my thoughts were appreciated and that I had something different to offer." Several individuals commented that their creative abilities were strengthened: "I found it one of the most challenging, exciting, and absorbing efforts in which I've ever participated. It was a real pleasure to break the constraints of daily problem-solving and look at the broad issues of the future. Even considering viewpoints I disagreed with led me to review my own assumptions and verbalize my thinking. There were times I felt my mind was really working at a much higher level due to the challenges."

Three questions concerned the development of staff understanding in terms of the specific job, public services in general, and the library world at large. Most individuals felt that they had gained in these areas and had a clearer understanding of both the big picture and the jobs of others. Some individuals stated that the "study has reaffirmed my conviction that each and every member of the library staff is working together to meet our ultimate goal -- meeting the information needs of our users. Twenty-two (22) respondents believed that their knowledge of current developments in the library and information field had increased. Many cited a better understanding of technological developments.

As could be expected, not everyone had equally positive reactions to the self-study. A very few individuals felt that the study had a negative impact on the library since it resulted in work not getting accomplished and in some cases, a failure to provide services in a timely manner. Although twenty-eight (28) staff members found their participation beneficial, most experienced some frustrations they felt detracted somewhat from the benefit of the Study. The primary frustration was dealing with the lack of time in trying to juggle task force work, regular responsibilities, and personal life. Overall, the staff clearly benefitted from participation in the Study. Twenty-five (25) individuals said that even had they known what was involved in a self-study at the onset, they would have volunteered. Only four would not have done so.

DID THE RESULTS OF THE SURVEY SUPPORT THE SELF-STUDY PHILOSOPHY?

It is important to understand that the self-study process is guided by a particular philosophy, that philosophy being that the group process is as significant as the final product. Consensus decision-making is a major part of the group process. Group process clearly holds some prospects for staff development in the future. In an article on inservice training in The Encyclopedia of Library and Information Science, Patrick R. Penland states that "group and project work can provide essential experiences in which the individual professional can universalize his goals. Group work is still an uncomfortable experience for the majority of librarians, but it is the matrix within which communication and really effective learning can take place."(2) I sometimes think that our progress toward this end has been slow since Penland wrote this article ten years ago. Penland continues:

> When the concept of inservice training shifts to a communicative enterprise from that of a molding endeavor, the growth of the employee will be enhanced. The employee's perception of work and the meaning of its various aspects will be changed. When he is free to analyze the job, and this is recognized as having a direct influence on improvements to be made, the employee is motivated to think constructively. Group problem solving as an activity has interest in itself and serves as a form of intrinsic motivation to continuing professional learning. (3)

He also notes that "group dynamics helps the employee move from the egocentricity of his own personality to the team work of communicative administration."(4) Penland feels that in order for communication to flourish in an organization, people must work together toward common goals. If the environment stresses only productivity and efficiency, which are not unimportant, staff members cannot communicate effectively. Successful and sustained group process should result in an increase in productivity rather than a decline. Several comments from participants support Penland's observations: "I gained renewed interest in libraries, my own role/job, and great intellectual stimulation from interaction with my task force members." "It was very satisfying to be part of this project and have the opportunity to study various aspects of public services and make recommendations." "A good chance to comment on the state of the library and its needs."

The question has been raised as to whether the focus of the self-study on group process is the means to an end or an end in itself. Despite all the benefits attributed to the process, the outcome is of equal importance to the staff. There must be a balance between the two. Through group work, staff are more involved in the planning effort and more readily support new ideas and changes. One task force member commented that the "ultimate frustration would be if the task force recommendations were not given due consideration, resulting in a lack of concrete action to improve library services." Comments received from the survey respondents revealed support for the group process method.

Almost every participant indicated the benefit of becoming acquainted with staff members they do not generally see or work with in the course of their day. This should contribute to stronger group participation in the future, particularly as the recommendations of the study are implemented. Representative comments included: "gained knowledge of working and problems of other areas in the Library," "learned that all staff members in the Library experience the same problems I do," and "getting to know and appreciate the contributions of staff members from other areas and levels." In addition to facilitating the group process, this benefit of working with other library staff also contributes to a better understanding of the Library as a whole and of some of the problems faced by a complex organization.

CONCLUSION

Several people commenting on the staff development aspect of the study process felt that individuals who were already well-versed in committee work gained little through the self-study process, while they expected that the uninitiated gained more. The overall results of the survey did not confirm this. Experienced librarians built on existing skills and knowledge as much as staff developed new skills. There were no clear differences between librarian and staff responses on any of the questions. One individual noted that benefits vary based on experience and in part on the personnel classification level: "I thought it [the self-study] was meaningful to staff at all levels in several areas. I think such experience is particularly beneficial to staff who've been with the library for a while, but may be only familiar with their own specific job areas. It seems to make them more interested and enthusiastic about the mission of the library as a whole. I guess, though, in a lot of ways, I found it more valuable as a process than in final results - though implementation may change that impression." This observation supports the self-study objective of developing staff understanding as well as supporting the value of the group process approach.

From my perspective as Study Team chair, I observed the development of closer staff working relationships, a lessening of "class consciousness," increased self-confidence on the part of several staff members, greater interest in and understanding of the library as a whole, the ability to rise above one's own function to consider the library in its entirety, and the recognition that everyone in a group is equally responsible for the group's actions. These gains should benefit the library for a long time to come.

My own positive feeling about the benefits of the self-study in the area of staff development is summarized in the words of one task force member: "I believe that the whole process of increasing knowledge, developing professionally, and establishing relationships with other staff members is a time-consuming process that is all-too-often overlooked or not taken into account in everyday operations. Although task force activity is time and energy-consuming, I feel it is an effective way to solve problems and allow for the other "benefits" mentioned above to occur."

On a final light note, I would encourage any library to consider how much it wants its staff to develop before electing to embark on such an encompassing project. By developing staff, we create a more aware and responsive group of people who are less likely to let events control them. They have gained knowledge and self-confidence that they are eager to exercise. We cannot pull the wool over their eyes. As one library assistant put it in responding to the question about staff development benefits of the self-study: "The mind of the Library Professional is no longer a mystery."

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APPENDIX

UNIVERSITY OF CALIFORNIA, RIVERSIDE PARTICIPATION IN THE PUBLIC SERVICES SELF-STUDY: A SURVEY

Please check your affiliation with the Study:

_____ Study Team & Task Force
_____ Task Force

Personnel Series:
_____ Administrative Assistant
_____ Library Assistant
_____ Librarian
_____ Management Services Officer
_____ Other

1. In general, did you find your participation in the Task Force, Study Team and/or Self-Study to be beneficial to you?

28 Yes   1 No

Comments (especially if no):

2. What skills did you develop or strengthen through your participation? (check as many as apply)

18 ability to work in a group
5 leadership skills
12 ability to compromise
4 No skills developed or strengthened
15 problem-solving capabilities
18 active listening skills
4 other (be specific)

Comments:

3. Did you experience any frustrations that you feel detracted from the benefit of your participation?

23 Yes   6 No
0 did not benefit from participation

Comments:

4. Do you feel that your problem-solving capabilities have increased?

17 Yes   11 No

If yes, how?

Other comments:

5. Has your participation enhanced your understanding of your job and how it fits into or relates to public services?

   17 yes   12 No

   Comments:

6. Has your participation enhanced your understanding of library public services as a whole?

   24 Yes   5 No

   Comments:

7. Has your knowledge of current developments in the library and information field increased?

   22 Yes   7 No

   Comments:

8. Do you feel that you could have gained the same knowledge (as in #4-7) more effectively or efficiently in another way?

   9 Yes   19 No

   If yes, how?

   Other comments:

9. Are you interested in serving on library task forces in the future (the focus would probably be somewhat narrower than the Self-Study!)?

   27 Yes   2 No

   Comments:

10. Had you known what was involved, would you have volunteered to serve on a Task Force in the beginning? (Balance the benefits and the frustrations.)

    25 Yes   4 No

    Comments:

11. In what other ways did you benefit from your participation in the self-study?

12. Please provide any other comments on the subject of staff development as it related to your experience through the Public Services Study. I welcome any and all comments.

KEY CONSIDERATIONS IN STARTING A PUBLIC SERVICES STUDY

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Abstract. Three important decisions which must be made before a public services study is undertaken are: deciding whether to partipate or not, determining who will serve as chair, and selecting the study team personnel. Key considerations, based on the study manual, the author's experience, and an informal poll of heads of public services at test libraries, are outlined so that informed decisions may be made by others interested in applying the assisted self-study process.

Keywords and Phrases. Public Services Study. Office of Management Studies. Academic Libraries.

By the end of 1984, all six libraries participating in the test phase of the Public Services in Research Libraries Project will have completed their formal study processes and will be actively involved in the implementation of recommendations coming out of the studies. The process then will be reviewed and the assisted self-study manual revised, based on the experiences of the testing libraries and their consultants. Soon after, the Public Services Program will be generally available from the Office of Management Studies (OMS) as one of the elements of the Academic Library Program.

Many of you in the audience who are interested in the concept and intrigued by the potential benefits to your own public service operations will want to consider participating. The purpose of my paper is to aid you in making informed decisions by outlining the factors to be considered at three early and critical junctures. You should know that my point of view is administrative and based on both experience and hindsight.

DECISION TO PARTICIPATE

The first and most obvious, of course, is the decision whether to participate or not. The preliminary edition of the study manual focuses on problems and benefits, stating that "Factors in a decision to participate in a public services study usually fall into four basic areas:

> 1. The problems facing public services are complex, difficult and of large dimension. They are not amenable to quick solution. They are not fully comprehended by any one person on the library staff.
>
> 2. A self-study develops staff understanding, problem solving skills, a heightened awareness of service philosophies and a commitment to act on needed changes.
>
> 3. A self-study is an opportunity to evaluate services offered, to see if program shifts warrant changes in emphasis or scope.
>
> 4. A self-study can assist a library staff in finding the most beneficial organization and structure for the efficient delivery of public services."[1]

Many of the problems you face in public services will be painfully evident to you and the benefits of adopting an assisted self-study process familiar. Other speakers on this panel have provided you with examples of concrete and conceptual results, similar to ones you can expect to obtain in your local situations.

It is not enough, however, to know you have problems and have access to a structured format for solving them. Equally important is the need to look at practical considerations before making your decision to participate. First, examine your library's current and future agenda. The planning for building renovations, library moves, or new buildings, the development of online catalogs or other automation projects, the involvement in union negotiations, university accreditation processes, or major new service program initiatives, to mention just a few of the possibilities, are commitments that will affect the library's ability to staff the study team and task forces adequately. It should come as no surprise that individuals you are sure have the creativity, energy, and expertise to do the kind of job you want may very well be otherwise occupied. These other agenda items, particularly in combination, may also detract from the symbolic statement you want to make about the importance of the public services study to your library.

Second, remember that the public services study will, of necessity, be a lengthy process. Experience is proving that ten to twelve months is a more realistic estimate than earlier projections of six to nine months. Sentiment has even been expressed at my institution that the study might be more effective if stretched out over two years. It is important to recognize that perhaps in

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contrast to other self-studies, such as the Management Review and Analysis Program (MRAP) or the Collection Analysis Project (CAP), the public services study is directly tied to the academic year in at least two critical ways. The ebb and flow of demand for direct patron services will have an effect on those members of the study team and task forces who are responsible for reference, bibliographic instruction, computer searching, interlibrary loans, and circulation. Deadlines may have to be extended and special care taken to make sure that public services staff do not approach the "burnout' stage. The beginning of semesters or quarters, mid-terms, and finals will intrude on the timing of the group's work. During term breaks and summer sessions, when patron demands are not as great, the group will have to contend with the traditional exodus of public services personnel who are wont to take vacations at these times. The tie to the academic year is felt in another way as well. Considerable effort may be expended on developing user surveys, for example, only to realize that significant parts of your clientele will not be on campus when you are ready to conduct them.

Third, take the time to look at other factors involving your staff. Once the project is introduced, try to gauge the interest and enthusiasm your staff feels about participating. As any member of the panel today will tell you, I am sure, interest and enthusiasm go a long way toward sustaining a group when the job seems overwhelming and the deadline near. Anticipate, in so far as it is possible, any changes in key administrative or middle management positions, since they may affect the wisdom of doing a study or the willingness of staff to participate in it. Determine whether general staff size or turnover may require modifications in the study framework. You may want to forego task forces in favor of study team sub-groups, or you may want to limit the number of task forces if your staff is not large.

Finally, realize that you are asking numerous members of your staff to make significant contributions of their time and energy, not to mention their hopes and dreams, over the life of what might become as much as a two-year project. Be sure that you understand these people will be expecting serious and timely consideration of the recommendations they have made. If budgetary constraints will affect your ability to implement certain kinds of recommendations, make that clear at the outset. The library administration's credibility will be on the line in these matters.

I have suggested a number of factors to be considered, but these are not the only ones. You will quickly think of others which are applicable to your own situation, particularly those involving institutional and internal library politics.

Thinking through the practical considerations is an ideal time to identify ways to minimize the time problems staff may have in contributing to the study. Calling a moratorium on certain other committee work, publicly acknowledging that some projects will be shelved during the course of the study without repercussion to the individuals or departments involved, arranging for temporary help in the form of additional student wages or part-time professional positions, providing adequate typing and copying support, and allowing staff to work at home when uninterrupted periods are needed for major writing projects are some of the things you can do to facilitate the study and ease the real time constraints your staff will feel.

STUDY TEAM CHAIR

Once you have weighed the need for a study and the benefits to be derived from it against the practical considerations, and then have planned the ways you can provide support, the next major decision involves selecting the individual who will chair the study team. For several of the test libraries this decision involved little or no discussion. It was assumed that the head of public services would play that role. At other test libraries considerable discussion was required. The study manual suggests that the individual selected should be "skilled in coordinating and organizing the work of groups . . . should be experienced in working under pressure and should have credibility with the rest of the library staff."[2] On the question of whether the assistant director for public services should chair the study team, the manual goes on to say, "There is no single answer to this question. It is important to consider the trade-offs. It is possible that that person, due to his or her current authority, could stifle the free exchange of ideas or inhibit the contributions of less experienced team members. On the other hand, in some cases, the study's results may be more accepted if the assistant director is part of the process. The style of leadership, the length of time in the position, and the issues to be addressed in the study are additional factors to consider when deciding the role of the assistant director for public services."[3]

I informally polled the heads of public services at the other test libraries on this question and would like to share with you a summary of their comments and mine. On the pro side, most of the arguments are in the form of anticipated benefits. As a new associate university librarian, I viewed the study as an opportunity to learn more about

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public services in a shorter period of time and, happily, that has been the case. The description and inventory of services, which is a basic part of the study process, allowed me to obtain a comprehensive knowledge of the great variety of services offered throughout the library and to see the variation in kinds and levels of activity within my own division much more quickly than I would have been able to do on my own. The all-staff survey we conducted was helpful in identifying staff perceptions of the major issues facing public services and the library. Related to this was the opportunity to learn about past local history and problems, particularly in terms of the staff's view of the administration's successes and failures. I also anticipated that the study would give me the chance to identify in a problem-solving setting the talents and abilities of a goodly number of staff, especially those below the department head level. I have to admit, too, that I did not want to feel left out of an activity, the results of which would affect my own plans and actions over the course of the next few years.

Comments made by the other public service heads on the pro side emphasized that chairing was in keeping with the library's management style, that doing so provided the opportunity to focus the efforts of the group in a constructive way and to bring system-wide perspectives to the group's deliberations, that it was a chance to implement public service plans with the help of some of the best staff from throughout the library, and that it brought a degree of control to the study team which was felt necessary in a complex organization.

For some libraries the decision that the assistant director should chair was an easy one, but for others, as I have indicated, it was not. Among the arguments against it are the following:

* Chairing the study team takes an enormous amount of time, up to two and one-half to three days per week in my case during the most intense periods. While the manual suggests that the chair be relieved of some operating responsibility, I doubt that is realistic for an assistant director.

* The recommendations may be viewed as the assistant director's not the staff's, although this may depend on the length of time the person has been in the job or at the institution.

* Staff may be inhibited if the assistant director has a strong and forceful personality.

* The assistant director may be in a better position to evaluate the recommendations objectively if he or she does not serve on the study team.

* In a dilemma somewhat reminiscent of Odysseus tacking his ship very carefully between Scylla and Charybdis, the assistant director may find him or herself having to support questionable recommendations in order to maintain credibility with the staff, while having that credibility weakened with the director as a result.

* While the assistant director may, in all sincerity just want to influence recommendations, the staff may see his or her behavior as manipulative.

* On sensitive issues, the assistant director may be viewed as speaking the "party line" rather than merely participating in open, wide-ranging discussion.

* Finally, depending on the extent to which consensus decision-making is used, the study team may have difficulty dealing with the assistant director's dual roles as chair and public services administrator.

Whatever your library's decision turns out to be on the question of the chair, I think it does deserve serious thought. Hopefully, the factors I have suggested will raise your consciousness a bit and help you avoid some of the pitfalls you may not have anticipated on your own.

STAFFING THE STUDY TEAM

The final task before the study gets underway is the selection of the study team members. The manual suggests, quite rightly, that a broad range of abilities, experience, and interests are needed and that personal credibility, once again, is important. The manual also indicates that:

> "Members should possess an understanding of the operations and organization of the library. The make-up of the team should reflect the fact that public services is a system-wide concern and the major units of public services in the main library and in the branches if appropriate should be included.
>
> Members should have analytical ability. They should be able to identify the important issues, identify critical elements in those issues, and see the parts of the study in relation to the whole of public services.

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Members should have the interpersonal skills necessary to communicate effectively with each other and with the rest of the staff. Because the team deals with critical issues, some conflict probably will occur. Therefore ability to handle disagreements and tension productively is an important quality.

Some members of the team should be experienced, senior staff in public services. At least one member of the Study Team should be from Technical Services or Collection Development -- that is, an area that is not public services, but where performance does influence public services.

Someone on the team should be a proficient writer to ensure a readable, clear, concise report. Each member need not be an expert writer, although members may share in drafting working papers and data gathering instruments."[4]

Based on my own experience and the experiences of others involved in the studies, I would suggest that you consider several other factors as well. As I mentioned earlier, interest and enthusiasm are important in sustaining an effort of this kind. Making a general call for volunteers for the study is a useful way of assessing the interest level of individual staff members and reinforces the notion that the study is a library-wide project. Since the study, as presented by OMS, emphasizes consensus decision-making and the group process, you might look for staff who have had experience with this approach or who have displayed, in other contexts, a willingness to share responsibility for the well-being of a group. The study team chair will often serve as convener of meetings and organizer of paperwork, rather than as traditional leader, so the ability and willingness of other team members to share leadership is helpful to the smooth functioning of the group. As Pat Swanson will relate, the study, as experienced in the test libraries, takes an enormous amount of time. Study team members may discover that there are not enough hours in the regular workday to accomplish everything that is necessary. Some work probably will need to be done at home, at night, or on the weekend. Individuals who are not willing to make that kind of commitment may be viewed by other study team members as not carrying their fair share of the workload.

There are other factors I could mention, but in the interest of brevity and your piece of mind -- I suspect you might be wondering where you are going to find the requisite number of people who possess all these credentials -- I will conclude this list by suggesting that a sense of humor may be one of the most important qualities to consider. The study is an intense experience and the leavening effect of humor should not be underestimated.

So with these three major decisions out of the way, your library will be ready to embark upon a project which should make a significant imprint on the future of your public services. I hope it will prove as beneficial to you and your library as I expect the study will be to me and mine.

ACKNOWLEDGEMENTS

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PUBLIC SERVICES IN RESEARCH LIBRARIES: A SUMMARY OF PARTICIPANTS' CONTRIBUTIONS TO FUTURE DESIGN

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The purpose of this summary is to describe how the seven pilot libraries (see appendix) have influenced our thinking about the final design of the Public Services Assisted Self-Study. While this brief survey cannot fully convey the many important contributions these libraries made, some important influences can be noted. The contributions I want to highlight today are in the areas of the timing and time involved, the structure of the study, the complexity of the user survey, the types of issues most and least susceptible to analysis through self-study, the nature of the consultant assistance, the multiple possible roles for the chief public services administrator and the strength and adaptability of the self-study format for use in very different library circumstances.

First, in the matter of time, we specified a study of 6-9 months duration in the preliminary edition of the Manual. This has proven unrealistic for several reasons which include 1) the heavy demands on involved staff to maintain service schedules and obligations such as Orientation at the start of the academic year; 2) the academic calendar which controls the data and information gathering activities of the study, e.g., a task force must plan any user surveys for appropriate times of the academic year, not just administer such a survey whenever they are prepared and 3) the number of other committee and participatory activities in an organization that staff members are involved in. Thus while fully realizing the special care needed to maintain momentum and enthusiasm for the study, we have been influenced by participants' belief that one year or even longer is a more appropriate time frame.

Second, concerning the structure of the study, in the preliminary edition of the Manual we described a process of Study Team background work, multiple task forces working simultaneously and then the Study Team writing the final report. We need to stress the flexibility inherent in the process and encourage participants to explore all possible options. Several libraries have suggested that some task forces (depending upon the scope of their work) should work sequentially so that one task force can utilize the findings of another and hence, make more substantiated recommendations. This has been most noted in the matter of a user survey which all participants believe should precede the work of any other task force. In fact, some participants think the user survey might better be developed and administered by the Study Team prior to any selection of task force topics.

That brings us to the matter of the user survey which is indicated in the preliminary edition of the Manual as an activity for a task force on "User Needs and Service Performance." While no library is required to undertake a user survey, most chose to do so. Articulating the purposes and goals of such a survey, developing an appropriate instrument, determining the best means of distribution and finally conducting the survey and analyzing the data has proven to be extraordinarily difficult, time consuming and expensive. Worthwhile results, new insights and positive public relations were achieved; however we all learned that conducting the survey is a painstaking endeavor requiring more expertise than most librarians have. Future participants will greatly benefit from the enormous amounts of work of the pilot libraries. Although we acknowledge there is no such thing as a perfect survey, the final edition of the Manual will contain a model or samples of surveys that these participating libraries may use or adapt.

OMS has in the past provided primarily process consulting and guidance in the effective use of groups in the organizational setting. While this continues to be valuable, several of the pilot libraries have suggested that the OMS consultants be prepared not only to facilitate the process but also to provide technical, substantative assistance in survey design, questionnaire analysis or technological applications for public services enhancements. One suggestion was that at least one of the consultants' visits be a technical seminar on survey design and execution. OMS will give serious thought to finding this mix of skills for consultants on future studies and is designing a workshop on these subjects as an option for future participants.

Next, the issues that seemed most difficult to address satisfactorily or which, to date, have not been addressed are those of staffing and organization, and those of service performance; that is defining standards of quality and devising strategies for monitoring and maintaining them. Whether true or not, we all seem to be assuming our services are of high quality. Setting priorities and setting limits on services also seemed difficult for participants. Although one library recommended cutting out a portion of an instruction program, few libraries recommended eliminating services or service points. Is it not feasible, realistic or politically sensible to eliminate services or is it not possible for self-study participants to take a detached, tough look at all services?

One of the most complex questions encountered was "Where do public services end?" All pilot libraries had technical services staff on study teams and task forces. Most libraries found collection development issues tied up in service issues - sometimes inextricably. What we at OMS have learned is not necessarily how to answer this question, but rather how to alert future participants to defining carefully the parameters and limitations (or absence thereof) most appropriate to their local circumstances. We shall revise the Manual to better alert participants to these complexities.

Technology was one of the issues most enthusiastically embraced by several participating libraries. Most viewed the self-study work related to technology as extremely valuable professional learning and staff development. Through this study participants were able to address such important concepts as the library's future roles in information delivery and the impact of technology upon service configurations. Finally, the pilot libraries have illuminated for us the multiple roles, sometimes conflicting, that the chief administrator (by whatever title) for public services plays in initiating and conducting a self-study. This administrator can chair the study team, can participate on the team, on a task force or both, can serve as a resource person or can remain apart from the study in order to accept the final report in a more neutral position. While we again have no single answer, we have become much more aware of the complexities, trade offs, costs and benefits of the various roles and can better articulate these to future participants.

As you have heard from our speakers, the assisted self-study is complicated, multifaceted, and often has unexpected benefits, by-products or outcomes. For me, one of the major contributions of the pilot libraries was to demonstrate and affirm the flexibility, adaptability and resiliency of the assisted self-study for use by very different kinds of libraries, facing different circumstances, with staffs of varying levels of ability, experience and knowledge. The assisted self-study remains a valuable approach for identifying, analyzing and solving problems within the context of the local institution.

APPENDIX

Public Services Assisted Self-Study
Pilot Project Libraries

Brown University Library

Merrily E. Taylor, University Librarian
Florence Doksansky, Assistant University Librarian for Reference and Collection Development, Study Team Chair

University of California (Riverside) Library

Joan Chambers, University Librarian
Nancy Huling, Head of Public Services Study Team Chair

Columbia University Libraries

Patricia Battin, Vice-President and University Librarian
Paula Kaufman, Director, Library Services Group, Study Team Chair

Michigan State University Libraries

Richard Chapin, Director
Clifford Haka, Information Librarian, Study Team Chair

Newberry Library

Lawrence W. Towner, Executive Director
Cynthia Peters, Head of Reference, Study Team Chair

University of North Carolina

James F. Govan, University Librarian
Karen S. Seibert, Assistant University Librarian for Public Services, Study Team Chair

Temple University Library

Sharon Hogan, Acting Director
Linda Cotilla, Head Zahn Instructional Materials Center, Study Team Chair

Part III:

CONTRIBUTED PAPERS

Section I:

ACADEMIC LIBRARIANSHIP

RELEASE TIME FOR PROFESSIONAL DEVELOPMENT: HOW MUCH FOR RESEARCH?

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Abstract. Librarians have sought increased release time for research purposes since the mid-sixties, when their struggle for faculty status began. The article defines release time from various viewpoints. Some basic conflicts that prevent the growth of release time are discussed. Responses regarding release time for professional development and prevailing criteria for promotion from a recent library survey are analyzed. Some current activities that may one day affect the amount of release time available to librarians are examined. It is concluded that little change has taken place over two decades in the amount of release time librarians receive for research-related activities.

Professional development has been defined by one librarian as "activities and efforts on the part of librarians to upgrade their knowledge, abilities, competencies, and understanding of their field of work or specialization so that they may become more effective professionals and so that they are able to assume responsibilities of greater scope and accountabilities."[1] The general definition of "release time" used in this paper is "paid time off to pursue any form of professional development"; for librarians the specific critical issue relates to time off for research, writing, and publishing.

Release time for professional development has been a thorny issue since librarians began the struggle for faculty status, which generally requires a commitment to continuing professional development in education, research, and publication. This commitment is intended to be comparable to the teaching faculty's prerequisites for promotion and tenure. Release time to pursue research is a particular issue for librarians because they have less control over their time than do the teaching faculty. The teaching faculty typically are at school mainly while teaching or during scheduled office hours. At all other times they are free to choose their own hours for class preparation or research. Librarians, in contrast have a fixed workweek during which they are supposed to be on the reference desk, at their own desk, or at assigned tasks within the library. This full schedule of operational commitments leaves little time for education, research and publication.

Librarians' lack of freedom to schedule their own time has been at the root of the professional development release time issue. As early as 1968, Carl Hintz wrote, "The fact that work schedules make research and writing for publication difficult for librarians is a stark reality."[2] It is still the reality today.

PERSPECTIVES ON RELEASE TIME FOR PROFESSIONAL DEVELOPMENT

Administrators tend to view release time as a *resource* to be used to enhance library operations, develop their people, solve problems, and enhance the reputation of the library and the school. Consistent with this view is the concept held by Ms. Maureen Pastine, Director of the San Jose State University library. She defines release time as any form of paid leave which is used for local, state, or national professional meetings; for research, writing, and publishing; for presentations at conferences; or for seminars, classwork, or any form of continuing education.

Most administrators would not object to this definition. In practice, however, release time is not available for such a wide range of activities. Release time tends to be made available only for some professional meetings and conferences, for seminars and workshops in library technology, and in a limited way for classes related to librarianship or collection specialties. Libraries that provide release time for research-related activities--studying grantsmanship. writing proposals, conducting research, writing research papers, and preparing and presenting research papers at professional meetings--are in the minority. Administrators tend to believe that such activities should be performed on the librarians' own time and at their own expense, just as faculty normally devote more than forty hours per week to their profession. But librarians feel resentful because faculty members have much more uncommitted time to look for and obtain research grants and, unlike librarians, can get time off in the form of flexible time or sabbaticals for their research.

For librarians, therefore, release time becomes an issue when it is wanted for research, writing, and publication, especially when these are criteria for promotion and tenure. Administrators who do make release time available for research tend to require the recipients to match the release time on at least a 2 to 1 basis. Many librarians, however, believe that if research and writing are job requirements, then they should have a "right" to take time for these activities within the standard forty-hour workweek.

ISSUES RELATED TO THE RELEASE TIME QUESTION

One of the major problems in the release time issue involves the librarian's role and the theory of service to the patron versus the value of research. Librarianship is traditionally dedicated to serving the patron. The introduction of the "publish or perish" syndrome, however, requires traditional librarians to divert time from service to do research and continuing education. To them, such a diversion means deprivation of the patrons. It can be argued, however, that to give the patron the best service, librarians must be aware of what is new and forthcoming in the industry. Such a theory holds that any library administration must simultaneously deal with three factors:

1. Maintenance of high-quality operations.
2. State-of-the-art operational improvement.
3. Participation in research to bring new ideas into focus and eventually into operations.

The administrator's problem is to balance available resources between current service and research activities.

In many libraries where significant emphasis has been placed on research and publication, a new problem has been identified: resistance by some librarians to research "elitists." Significant numbers of librarians argue that basic research seldom yields an immediate payoff in improved operations. But the researchers disagree and resent other librarians who get time off for education and seminars while they themselves must carry their full assignments even during the heaviest research work periods. In some libraries a dichotomy has developed between librarians who choose faculty status, which demands research, and other librarians who prefer an "academic" status, which emphasizes patron service.

Another deterrent to research is librarians' lack of appropriate training, which can, in part, be blamed on library schools' curricula. According to Davey and Andrews, "Library schools have done their students a disservice by no longer requiring the master's thesis and/or research papers."[3] Another, more recent article supports this charge, stating, "Furthermore, until recently library schools have had little incentive to prepare academically oriented graduates to meet the research responsibility which can accompany faculty status."[4]

An interesting phenomenon is the apparent apathy of some librarians. In a survey by Jesse and Mitchell, at least "one librarian [director] expressed a willingness to give time [off] for research if anyone should request it." They conclude that "apathetic librarians must share the responsibility [for lack of release time for research] with reluctant supervisors."[5] Davey and Andrews note that "... above all a change of attitude is needed. Poorly disguised resistance is shown to doing the extra things: the research, writing, and service to the profession. ...undergraduate habits must be put aside and a mature outlook taken from the outset of one's career."[6]

Expense can be a pressing problem for those who must do research to satisfy criteria for promotion or tenure. In recent years, the economic crunch has brought deep budget cuts to education and libraries. Rayman and Goudy note that "unfortunately, research and publication by academic librarians are not well supported, even where mandatory. Structured workweeks, combined with relatively stringent opportunities for released time, foster a climate where the pursuit of scholarly research and publication is extremely difficult, a circumstance compounded to a lesser, but still significant degree by inadequate funding."[7]

Because funding is not available for professional development at many institutions, librarians must assume that burden themselves. Davey and Andrews conclude:

> Real dedication and commitment are needed for librarians to reach the top in the competitive atmosphere of universities today. This probably means the librarian will have to work virtually every night and every weekend for long periods of time. Otherwise primary duties may be neglected. Also, one must expend time and money and undergo inconvenience to attend professional meetings.[8]

LIBRARY SURVEY FINDINGS

In May-June 1981, Luella Davis--now a librarian at Emory University--and I conducted an extensive survey of reference service practices in 367 U.S. and Canadian academic libraries.[9] Among other things, our questionnaire asked about the amount of time off for professional development. During our analysis, cross-tabulations were made to relate the percent of time allowed for professional development to variations in geographic region, FTE (full-time equivalent) students, highest degree offered, and size of library holdings. All geographic regions showed a preference for 1 to 5 percent. The libraries in the New England and South Atlantic states indicated very little variation from this norm, whereas libraries in the Pacific states and Canada showed wide variations. All FTE student body sizes showed a preference for 1 to 5 percent, but schools with over 5,000 students avoided giving zero percent while schools with over 20,000 students were equally likely to offer librarians either 1 to 5 percent or more than 5 percent. Again, regardless of degree level, schools indicated the norm of 1 to 5 percent, but those offering only a BA or BS were more likely to answer zero time off than more than 5 percent. The cross-tabulations of percent of time off in relation to size of library holdings showed that smaller libraries (up to 500,000 volumes) gave less time off than larger libraries.

We also tested to see if the number of hours spent on the reference desk per week, the number of reference librarians in the library, or the number of support staff assigned to the reference area might affect the amount of time off available for professional development. In all cases, 1 to 5 percent was the most frequent response. Nevertheless, librarians who were on the desk over 25 hours per week were somewhat more likely to receive zero time off. Smaller libraries (four or fewer reference librarians) were more likely to give their librarians zero time off than more than 5 percent. Conversely, the larger libraries (five or more reference librarians) were more likely to offer more than 5 percent than zero percent. Libraries employing few support staff tended to offer less time off than those with more support staff.

In summary, more hours on the desk, fewer reference librarians, and fewer support staff all are associated with less time available for professional development. However, these relationships are probably all correlated to the size of the school and its library, yielding a general conclusion that librarians of smaller schools tend to get less time off for professional development.

A second question asked in our survey is also related to the professional development release time issue. The question asked about the promotion criteria used by the library administration. Twelve criteria were included, and the responses ranked them in the following order:

Rank	Promotion Criterion	Number Schools Yes	Number Schools No
1	Job performance	307	8
2	Supervisory evaluations	274	42
3	Active professional membership	228	85
4	Continuing education	218	96
5	Publications	181	130
6	Presentation of papers	176	137
7	Second master's degree	163	150
8	Colleague evaluations	105	207
9	Ph.D. degree	94	219
10	Outside letters	65	245
11	Student evaluations	57	256
12	Support staff evaluations	40	274

In the cross-tabulations of promotion criteria with the amount of professional development release time, all twelve of the criteria depicted the 1 to 5 percent professional development time off as normal, whether the criteria were used or not. Of the six criteria related to professional development, four--active professional membership, continuing education, need to publish, and presentation of papers--showed that when they were not used as criteria for promotion, the librarians were somewhat more likely to get zero time off. The Ph.D. requirement produced inexplicable results: when it was a criterion for promotion, the librarian was slightly more likely to receive zero time off. Librarians pursuing higher degrees must a-parently do so on their own time. The remaining six criteria for promotion are not research related.

Many of the librarians (80 schools or 22 percent) wrote in answers describing their professional development leave time. The most common write-in response was that there was no formal arrangement as to the percent of time off, or that there was release time for attending professional conferences and workshops but not for publishing or research. Research and writing were usually stated as "done on our time," "done outside of the workweek," or done "during summer and between semesters." Two reference librarians responded:

> The librarians have the same "publish or perish" pressures as the teaching faculty. Thus the concept of "normal workweek" has lost a lot of its meaning here. Many of the librarians put in workweeks far in excess of 40 hours. For many of them, the percent of time they're able to spend on professional, non-university related activities is frustratingly small.
>
> Alledgedly, you can [take release time] to any extent you want...but for publishing you have to do it on your own time. This is a sore point.

Several others just stated that "this is a problem area."

Survey respondents also wrote in explanations of how institutions defined and allowed release time to librarians. Some institutions are responding to their librarians' needs for time to pursue activities leading to promotion and tenure, as indicated by answers such as "varies with need," "flexible," or that time off is given "by individual request for time" and "based upon project." Two respondents quoted their library's policy:

> A member of the Professional Library Staff may, with the consent of his or her supervisor and the University Library, devote up to four days per month to outside professional activities without prior approval of the Dean of the Faculty providing not more than two days are for consultation.
>
> After completing three years of service ..., a librarian is eligible for a paid leave of absence amounting to 12 weeks. This is in addition to the usual vacation time of one month plus one week.

On the basis of our survey, however, the reality is that most institutions require research and publication for promotion and tenure and that most allow 1 to 5 percent time off for professional development. The write-in responses suggest, however, that time off is not equally distributed between research-related activities and those related to continuing education, with the smaller share going to research. The fact that so many respondents took the time to write in their explanations suggests that this issue is of prime concern to them.

CURRENT PRACTICES RELEVANT TO THE RELEASE TIME ISSUE

The preceding paragraphs have focused on the problems and practices which still prevent widespread allocation of release time for library research. In an effort to be more positive about what can be done to improve the release time situations, some ideas have been gleaned from the literature, from survey write-in responses, and from personal experiences. Most of these practices are being done at only one or a few libraries, but in these places progress is being made. They have been grouped into four general types.

Increasing the Librarian's Level of Research Awareness

Central to the librarians' problem is their own resistance to performing research. At some libraries, deliberate efforts are being made to remove some of the mystique about research. They are trying to assess the talents of the in-house librarians and of professors who can serve as mentors for various phases of a research study. Professors can often be recruited to review proposed research methodologies or data analyses. A professional editor can help reorganize papers, correct English, and force clear thinking. In this mentor process, many librarians discover how to do research and write. Librarians are also finding that many operational studies performed within a library can be approached as research studies, written up, and even published. Examples might include studies on user satisfaction, use of periodicals, effectiveness of online catalogs, or weeding the collection.

Improved Planning and Proposal Preparation

At some schools librarians are adopting some of the techniques used by the faculty to gain release time. The key to winning grants and sabbatical leave is the preparation of well-thought-out research proposals. Some librarians now recognize that administrators are more likely to cooperate when they can document items like the following:

1. A problem of general interest to the library
2. A clearly stated objective
3. A logically conceived research methodology (or model) for evaluating alternatives
4. A well-defined series of subtasks that will clearly lead to a conclusion
5. A feasible schedule
6. Accurate estimates of the resources needed.

The librarian who is this well prepared is in a position to be much more assertive and less apologetic about the need for time and funds.

Organizing to Provide Research Support

Many academic libraries are forming library research committees that promote and evaluate research. A recent SPEC Kit on "Professional Development in ARL Libraries" documents some ways through policy statements sent in by many institutions.[10] Diane Stine, in a recent article in C&RL News, states that a new Research and Publications Committee at the University of New Mexico library "had the advantage of creating support and encouragement to the faculty [librarians] through contact made between committee members and individuals engaged in research."[11] She also notes that "Research activity, especially among the new faculty at UNM, has increased since the implementation of this policy. People under evaluation for midway and tenure reviews are examined for their use of this option. Faculty can no longer claim that they were not given time to pursue research."[12] The Kresge Library at Oakland University (Rochester, Michigan) uses a University Library Council in which librarians can present proposals for professional development leave (P.D.L.). Daniel F. Ring notes that "In the final analysis, the P.D.L's have demonstrated that librarians, when properly encouraged and supported, can and will engage in scholarship--whether in publication or by obtaining advanced degrees."[13] An informal librarians' "Brown Bag Lunch" group at Southern Illinois at Carbondale led to the establishment of a Research Interest Group.[14] Both were sponsored by the Faculty Development Committee. At the Ohio State University Libraries, the "Advisory Committee on Research" prepared a guide for writing a research proposal. Overall, the committee's work has led to acceptance by the library of work schedules that include 20 percent time allocation for professional development.[15]

Committees can provide a valuable supportive environment for librarians attempting to do research, write, and publish. Librarians with no research training or writing experience can meet with those who have had papers published. "More importantly, because of the work of the Faculty Development Committee in publicizing research activities within Library affairs, there is no longer any reason for colleagues to feel isolated from one another in either their interest or problems as researchers."[16] The committees can serve as mentors and teachers to the novice writers. Establishing such a committee does not take money. It does require time, and an administrative commitment to provide assistance to librarians with research aspirations and needs.

Acceptance of Flexible Work Schedules

The inflexibility of the work schedule continues to be one of the greatest deterrents to the conduct of research by librarians. Yet the literature provides many stories of innovative scheduling practices. The University of Illinois at Urbana-Champaign library, for example, changed from an 8 to 5 schedule to a schedule of 30 hours per week for library work and 10 hours for professional development. Its "Librarians must determine for themselves how to balance their responsibilities. While not as flexible as the teaching faculty's work, there is an ebb and flow to the librarian's work as well."[17] The Dickinson College Library adjusted work schedules to allow for "one month in the summer to devote to professional and scholarly development"[18] and through consolidated duty schedules, "altered work weeks have made possible concurrent work and study."[19]

Many reference librarians have discovered that schedules can be adjusted to allow a day or two per week for research, study, or writing by negotiating with their supervisors to have all of their reference desk hours scheduled for specific days of the week. Many respondents stated in our survey that research was allowed only between semesters or in the summer. Maybe other libraries can use these lulls to allow individuals to perform research. Perhaps part of the problem is lack of planning to use those periods, or a lack of assertiveness in requesting time off when time is available. As one librarian commented, "it is the individual librarian's responsibility to be self-motivated in the area of professional growth. The librarians must not see themselves as mere hourly employees, but as true professionals."[20]

SOME FINAL WORDS

A review of the release time controversy as described in 1968 by Jesse and Mitchell,[21] in 1978 by Pontius,[22] and based on the author's 1981 survey indicates that little improvement has been made and that significant changes are not likely for the foreseeable future. Despite considerable evidence of a trend toward increased verbal support for research, release time for that purpose is not likely to become generally available. Rather, support will take the form of experimental changes in organization--most particularly the use of committees to promote research and to offer support to individual researchers--and changes in policy which make possible more flexible schedules to give researchers greater control over their time. There is evidence of an ever-increasing group of librarians who, by learning the methods of the faculty, are approaching research more professionally. They are using proposals, more advanced research models, and research writing formats. They also seem to be growing in awareness that grants are available to those who will do the planning necessary to win them.

Unfortunately, this professional growth is still restricted to that small percentage of librarians who are highly motivated to do research. For the next few years release time is likely to continue to be a bonus for such hard-core researchers, certainly not a "right" for most librarians. The best that most librarians can hope for is support in the form of education about research technology; administrative support such as typing, stationery, duplication, and computation; and perhaps some informal release time during student vacation periods.

There is no simple explanation for the lack of significant progress in the last fifteen years. Whatever the truth, it seems clear that release time for research will remain a rare commodity, offered only to those who find research so stimulating that they would do the research on their own time anyway, those who already know the tremendous personal satisfaction that comes from completing a good research report.

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PEER REVIEW FOR LIBRARIANS AND ITS APPLICATION IN ARL LIBRARIES

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Abstract. As academic libraries and the responsibilities of librarians have become more sophisticated, they have sought a method of performance evaluation more suitable than previous reliance on evaluation by a single individual. Peer review is one such evaluation method. After a definition of peer review and conditions necessary for its success, the results of a survey on the utilization of peer review in ARL libraries are described. The responses indicate that some type of peer review is practiced in 67% of ARL libraries and that while librarians with faculty status are more likely to have peer review, those with professional status more frequently use it for annual evaluations as well as promotion and tenure decisions. There is no trend away from the use of peer review.

Keywords and Phrases. Association of Research Libraries, Peer Review, Performance Evaluation

INTRODUCTION

Performance evaluation of librarians and the determination of appropriate rewards for this performance is an important part of our professional life. As the role of librarians has grown increasingly complex, we have sought to provide evaluation methods which are as equitable as possible. One evaluation method used by many academic libraries is peer review.

Although the literature abounds with information on the status of librarians, studies focusing on the use of various evaluation methods is sparse. To date, there has been no overall survey of the use of peer review for librarians in academic libraries. After a brief scenario of developments leading to peer review, this paper discusses the utilization of peer review at large academic libraries. The data that is presented was gathered from a questionnaire that I sent to Association of Research Libraries (ARL). The purpose of the questionnaire was not to evaluate peer review as an evaluative method, but to examine its use in large academic libraries. In the course of this investigation, some unexpected myths and realities emerged.

HISTORICAL SCENARIO

Once upon a time, and not so very, very long ago, the director of an academic library was a sage, omniscient person who had a finger on the pulse of every activity within the library. This library director not only had complete knowledge about the intricacies of the heating system and could quote the titles of the new books added to the collection during the previous week, but was aware of the level of performance of each librarian at the institution be they catalogers, bibliographers, or reference librarians. Furthermore, this director was similarly familiar with the professional development activities of each librarian. The librarians understood that this director was obviously qualified to conduct performance reviews and to dispense just rewards. Few objected to such a system.

Today this has the elements of a mythical situation. Libraries, as we all know, are now far more sophisticated than those of yore. The duties and responsibilities of librarians have become increasingly complex and they routinely participate in a wide range of activities undreamed of by their predecessors.

By no stretch of anyone's imagination can today's library director be fully informed about the activities of the staff. In most instances it is also impossible for individual supervisors to evaluate all the various facets of a librarian's performance. A supervisor may have a good knowledge of a librarian's contribution in certain specified areas, however, more often than not the supervisor does not directly observe the work. Think for a moment about the number of activities in which you participate either in the performance of your professional responsibilities or in professional development. How frequently does your supervisor observe your performance or share the unique expertise that you possess?

As the role librarians changed, they questioned the equity of a reward system determined by a single individual. More information drawn from a variety of sources was needed. Librarians sought other means by which each individual's performance could be competently, knowledgeably, and fairly rewarded and which would improve the quality of performance. An evaluation method which appeared to meet these criteria was peer review.

DEFINITION OF PEER REVIEW

Peer review or peer evaluation is defined as "the process of having members of a group judge the extent to which each of their fellow group members has exhibited specified traits, behaviors, or achievements."[1] Peer review as an assessment method dates from the 1920's but little research was done on it until after World War II.[2] Researchers agree that peer evaluation is most effective when it is only one segment of an evaluation system that is composed of several compatible and mutually supporting parts;[3] in other words, when there is input not just from peers, but also from a variety of other sources and levels. Various studies have validated the reliability of this method in general and have found that review by peers contributes to a more accurate perception of an individual's performance.[4]

Research indicates that peer evaluation is more effective in some organizational settings than in others. Its most successful use has been in situations in which certain conditions exist. These conditions are:

1. The existence of peer groups whose members are afforded unique views of salient aspects of each other's behavior;
2. The existence of peer groups whose members are capable of accurately perceiving and interpreting the salient aspects of each other's behavior;
3. A perceived need to improve the effectiveness with which some characteristic or characteristics of peer group members are being assessed.[5]

Peer review is used in a number of different situations by varying groups, each of which to some degree meet the above conditions. The military, the nursing profession, industries, certified public accountants, government agencies, faculty and librarians have successfully used some form of peer evaluation. Peer assessment used by these groups varies in purpose, method, and procedure. For example, it is used in the military to determine potential officers, by CPA firms to assure quality control, and by government agencies, such as the National Science Foundation and the National Institutes of Health in awarding research grants.[6] Faculty and librarians both use peer review in the evaluation of past performance and in the determination of rewards for such performance. However, the methods and procedures used by these two groups are quite diverse.

The faculty review system has provided the model for academic librarians. The push for an equitable review process which includes participation by colleagues played an important role in the effort to gain faculty status. In reality, although the faculty environment meets the first two conditions for peer review, that is, group members who have the opportunity to observe the behavior of others and group members who are capable of accurately perceiving and interpreting the behavior of others, research indicates that systematic peer evaluation may not be as widely used by the faculty as is commonly believed. The literature on faculty evaluation contains numerous references to the lack of uniformity to be found in the review process, and the proliferation of methodologies.[7]

The conditions for peer review likewise exist for librarians, possibly to even a greater extent than for faculty because of the daily opportunities for observing the performance of colleagues. The ACRL "Standards for Faculty Status for College and University Librarians" (1972) stipulate that a necessary element of the review process for librarians is "appraisal by a committee of peers who have access to all available evidence."[8] Several studies have been conducted on the status of librarians in academic libraries and on the criteria by which librarians are evaluated. These reports generally focus on a state, a particular area, or an individual institution.[9] Some of these articles have included a brief mention of peer review.

PEER REVIEW AT ARL LIBRARIES

To gather some information about how widely the ACRL Standards have been adopted in large academic libraries and to determine what relationships exist, if any, between peer review and the personnel status of librarians, I sent a brief questionnaire to U.S. academic libraries that are members of the Association of Research Libraries (Appendix A). ARL libraries were selected because they constitute an identifiable group of managable size with similar attributes. For purposes of this survey, all seven University of California campuses which are members of ARL were considered one institution as were the three SUNY member libraries. This was done since the variables involved are consistent throughout each of the two systems. This reduced the number of ARL institutions included in the survey from 90 to 82.

The brief one page questionnaire included a question about the status of librarians at the institution. Two categories were designated: faculty status and professional status. I adopted the definitions used by Thomas English in his article, "Librarian Status in the Eighty-nine U.S. Academic Institutions of the Association of Research Libraries: 1982" for this questionnaire.[10] The term "professional" denotes the various categories of librarian status not designated as "faculty," such as "academic," "administrative," and "classified."

One of the major questions was "Do librarians have peer review in performance evaluations?" The term "performance evaluation" was meant to include any evaluation of librarians, including salary increases, promotion, tenure, or contract renewal. This question created some confusion for those institutions which consider annual performance evaluations and promotion/tenure reviews as two different processes. A small test group failed to detect this potential area of confusion and the term was not defined in the cover letter. A misinterpretation of this question was usually revealed in the answers to other questions and adjustments were made in the responses, as necessary. For example, if the response to question three asking if there was peer review for performance evaluations was "no" and the institution answered under question five that it used peer review for promotion and tenure only, this institution was counted as having peer review.

Respondents were asked to indicate how peer review is conducted and if it is used for annual evaluations including merit and salary increases or if it is used only for promotion, tenure, or retention decisions. The year in which faculty status was achieved and the year peer review was first utilized were also requested. Libraries were asked about the type of review process that exists if peer review is not utilized. Data derived from this question is not included in this discussion. A final question designed to detect if there might be a possible trend away from peer review asked, "If librarians do not now have peer review, did they have it at any time in the past?"

Of the 82 institutions, 67 returned the questionnaire for an 82% response. The response indicated that even among ARL libraries there exists a wide variation in evaluation practices and terminology.

In the 67 responding institutions, 32 have faculty status and 35 have professional status. Forty-two of the responding libraries were state institutions and 25 were private institutions. This is close to the ratio of questionnaires that were sent: 50 state institutions and 32 private institutions (table 1).

TABLE 1

Responses to Questionnaire

	Number	Percent
ARL Institutions surveyed	82	
Responses returned	67	
Return rate		82%
State Institutions	42	63%
Private Institutions	25	39%

The results of this survey replicate English's finding that librarians at state ARL institutions are more likely to have faculty status than are their colleagues at private ARL institutions. The findings in the English study, which included all U.S. ARL libraries, revealed that 61.4% (35) of the state institutions and 18.7% (6) of the private institutions have faculty status. The statistics in this survey show that 64% (27) of the state institutions and 20% (5) of the private institutions have faculty status. To state these figures in another way, 84% of the librarians with faculty status at ARL libraries are at state institutions (table 2).

TABLE 2

Status of Librarians in ARL Libraries

Institution	Faculty	Professional
State	27 (64%)	15 (36%)
Private	5 (20%)	20 (80%)
Total	32 (48%)	35 (53%)

Peer review of some type is practiced in 45 (67%) of the libraries. Three-fourths of these libraries are state institutions. Librarians at 28 of the libraries have faculty status and 17 have professional status. This figure for peer review at ARL libraries (67%) is higher than that reported in the literature for academic libraries in specific regions. A study of academic librarians in Ohio (1980) reported that 23% of the librarians in that state have peer review,[11] while a similar study on the status of academic librarians in Texas (1978) revealed that only 21% are evaluated by their peers.[12] Yet another study of academic librarians in New York (1983) found that 46% of the librarians undergo peer review for promotion.[13] The first two studies include peer review for annual performance evaluations while the third specified promotion only. These three studies indicate an increasing use of peer review with time.

The majority of the 45 institutions practicing peer review use it only for promotion and tenure decisions. Only 8 out of 20 libraries with faculty status utilize "full" review which includes merit or salary evaluations as well as promotion and tenure. Librarians with professional status are more likely than those with faculty status to be reviewed by a committee of peers for annual performance evaluations as well as for promotion and tenure. Of the 17 institutions in which librarians have professional status and peer review, 10 have peer review for annual evaluations and merit increases and 7 use it only for promotion and tenure decisions (table 3). By a narrow margin, more librarians with professional status than with faculty status are in compliance with the ACRL standards that the performance of each librarian should be "regularly" reviewed by a committee of peers. One conclusion that might be drawn from these statistics is that librarians with faculty status are reviewed according to the review system used by the faculty at that institution and that a large number of faculty are reviewed by their peers only for promotion or tenure. Four libraries in which librarians have faculty status did not indicate that any type of peer review is utilized.

TABLE 3

Peer Review in ARL Libraries

Libraries with peer review	45 (67%)
Libraries without peer review	22 (33%)
Libraries with Peer Review (45)	
State Institutions	35 (78%)
Private Institutions	10 (22%)
Faculty status	28 (62%)
Promotion/tenure only	20 (71%)
P/T and annual reviews	8 (29%)
Professional status	17 (38%)
Promotion/tenure only	7 (41%)
P/T and annual reviews	10 (58%)

The use of peer review by ARL libraries appears to have been strongly influenced by the adoption of the ACRL standards. The earliest definite date supplied for the beginning of the peer review process was 1959 and the latest 1982. By far the majority of institutions began the peer review process between 1971 and 1979 (table 4). This is also the time span in which the majority of institutions were granting faculty status to librarians. Of the 25 institutions responding with a definite date to the question regarding the year faculty status was achieved, 15 indicated the years between 1966-1977. However, 8 institutions received faculty status before 1960 (table 5).

TABLE 4

DATE PEER REVIEW WAS FIRST USED

(36 Responses)

Before 1960	1
Between 1961-1965	2
1966-1970	8
1971-1979	22
1980-1982	3

TABLE 5

DATE FACULTY STATUS WAS GRANTED

(25 Responses)

Before 1950	5
Between 1951-1960	3
1961-1965	1
1966-1970	9
1971-1979	6
1980-1982	1

The time span between the beginning of faculty status and the adoption of peer review in the evaluation process also varies. On some campuses, peer review began the same year that faculty status was granted but a period of time ranging from 3-20 years is more common. Three institutions indicated that librarians had peer review before attaining faculty status. Two were state institutions and the third was a private institution.

The procedures used to conduct peer review in libraries are very diverse. The one common denominator is that peer review is only a part of a larger evaluative process that also includes evaluation by supervisors, department heads, deans, vice chancellors, and provosts. As stated earlier, this is viewed as the most effective type of peer review. The data gathered from this part of the questionnaire is imprecise because of the number of variables and non responses. Only a general summary of some of the major components of peer review as indicated in the responses to the questionnaire will be presented here.

The most prevalent type of peer review is done by committee composed of librarians, reviewing evaluative information submitted by the review initiator. This information may also contain data submitted by peers. Twenty-six out of the 36 responses to this question indicated that this method is utilized. The second most frequently mentioned peer group was a university committee. Occassionally, the evaluation is reviewed by both a library and an university committee. Four libraries indicated that peer review is carried out for each librarian being reviewed by others with equal or higher rank. At two of these institutions, librarians have faculty status and at the other two, professional status.

There does not appear to be an appreciable trend away from peer review. Only three responses indicated that peer review was used in the past and is not currently being used. Librarians at one of these institutions have faculty status, and at the other two professional status. One of these three libraries is continuing peer review (peer input) but with a less complex procedure. In the other two libraries, one used peer review from 1971-76 and the other indicated that peer review was dropped in 1979. Dissatisfaction by librarians and a general consensus that the process was more time consuming than it was worth were cited as reasons for ending peer review. In contrast, 5 libraries have begun using peer review since 1979. These were all libraries in which librarians have professional status.

CONCLUSION

The librarian environment is one which meets the conditions for peer evaluation. However, at ARL libraries only about 67% of the librarians have peer review. It is more prevalent among those institutions which have granted librarians faculty status and at state institutions. The figure for peer evaluation at ARL institutions is higher than any yet noted in the literature.

If we assume that the four institutions with faculty status which reported that they did not have peer review answered the question correctly, then the commonly held view that librarians with faculty status always have peer review is a myth. This challenges a basic belief. Further investigation is necessary before such statements can confidently be made. The literature on faculty use of peer review, although lacking precise statistics, is such that faculty status without peer review appears to be a distinct possibility.

Since the ACRL "Standards for Faculty Status for College and University Librarians" was "drafted by a committee of the Association of American Colleges, the American Association of University Professors, and ACRL,"[14] it appears that these groups endorsed "full" peer review for librarians with faculty status. This being the case, it was expected that a larger number of librarians with faculty status would have regular performance reviews by a committee of peers. However, the reality is that librarians with professional status are more likely than those with faculty status to have peer review for annual evaluations as well as for promotion and tenure decisions.

Although two libraries have discontinued peer review, there does not appear to be a move away from such practices. On the contrary, although a shift away from granting faculty status to librarians appears to be occurring,[15] institutions with professional status are continuing to adopt this method of review.

Overall the literature on the status of librarians and the findings of this survey indicate that libraries are striving for the most effective means of dispensing rewards. The variation in review methods, even amongst those utilizing peer review, is very interesting and unexpected. The majority of ARL institutions have found that review of a librarian's activities by colleagues offers the best chance for achieving accuracy and equity in today's libraries. Whatever the weaknesses inherent in peer evaluation, and they are a legitimate source of concern, review by colleagues has become the norm. If there ever was the wise and benevolent administrator who alone dispensed rewards and encouraged improved performance, that person will never reappear.

ACKNOWLEDGEMENTS

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APPENDIX A

Questionnaire on Peer Review

1. What is the personnel status of the majority of librarians at your institution?

   __ Faculty status
   __ Professional/academic status (also includes such terms as classified, staff, administrative)

2. If librarians have faculty status, what year was this status achieved?________

3. Do librarians have peer review in performance evaluations? ___ YES ___ NO

4. Is peer review carried out by:

   __ Promotion and review committees within the library composed of librarians
   __ All librarians of equal or higher rank serve as peer group
   __ University faculty committee
   __ Written documentation submitted by colleagues in the library, university faculty, and in the profession without committee review
   __ Other (Please specify)_______________

5. Is peer review conducted for:

   __ Promotion or tenure (indefinite appointment) only
   __ Merit increase, promotion and tenure

6. What year was peer review first utilized?

7. If librarians do not have peer review, what type of a review process exists?

   ___ Automatic salary step increases
   ___ Evaluative letter from supervisor/department head with approval by the Library Director
   ___ Form prepared by supervisor/department head with approval by Library Director
   ___ Other (please specify)_______________

8. If librarians do not now have peer review, did they have it any time in the past?

   ___YES ___NO
   If yes, When? What was the reason for the change?

VALUES AND ACRL: WHAT DO OUR LEADERS REPORT?

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Abstract. The professions, through their professional organizations, seek to maintain standards of practice which are based on systems of value. One of the principal agents for the articulation and dissemination of professional values among academic librarians is the Association of College and Research Libraries. In this paper the authors examine the annual reports of the past twelve presidents of the Association in relation to four value traditions: librarianship, higher education, professionalism, and social responsibility of the individual. The usefulness of these reports as a guide to action for new members of the Association is discussed.

Keywords. Values; ACRL; Annual Reports; Content Analysis; Professional Organizations; Presidents.

The new member of any organization is faced with the problem of identifying acceptable behaviors, and in the process of discovering the behaviors acceptable to those making demands and having expectations of him or her, tests actions through a process of search and negotiation.[1] A person who is in the position of making evaluative judgments about the new member does so within a general framework of basic assumptions about what constitutes desirable and undesirable behaviors. Obviously the perspective of the person making the judgment will vary according to his or her own situation, e.g. a consumer will have a somewhat different set of values from which to judge a salesperson than the manager of the department in which that person works.

If the person is a member of a profession, the new member's behaviors are also supposed to be characterized by technical competence, superior skill, and a high quality of performance.[2] Ultimately, these evaluative judgments are related to assumptions of desirable end-states of existence (e.g. freedom, equality) or certain broad modes of conduct (courage, honesty). Such assumptions are defined by the various value systems to which we subscribe, professional, ethical, and moral. Values are the criteria we employ in selecting the goals of our behavior.[3] Certain kinds of value systems are widely taught and form part of the broad cultural basis of our society, e.g. the Bill of Rights, the pledge of allegiance, or are expressed in shorthand form and aphorisms, e.g. the spirit of fair play, the free-enterprise system, God helps those who help themselves, or through advertising slogans, e.g. the best product at the lowest price.

The professions through their professional organizations seek to maintain standards of practice which are themselves based on systems of value. One of the most well-known professional value statements is contained in the Hippocratic Oath, with its dedication to the preservation of life. In librarianship the Library Bill of Rights sets forth certain fundamental assumptions relating to the profession and those whom it serves. That values may change over time or are frequently disputed does not alter the fact that they contain broad implications for action that may be subscribed to by large numbers of people.

Organizational theorists have variously expressed their views on the importance of values. One of the most thorough articulations of the importance of values to the individual was made by Milton Rokeach in his 1969 book, *Beliefs, Attitudes, and Values*.[4] In it he says that "To say that a person 'has a value' is to say that he has an enduring belief that a special mode of conduct or end-state of existence is personally and socially preferable to alternative modes of conduct or end-states of existence. Once a value is internalized it becomes, consciously or unconsciously, a standard or criterion for guiding action...."

The function of values in the institutional context has also been addressed. Philip Selznick in his *Leadership in Administration* has observed that the making of value commitments fixes the assumptions of policy makers about the institution's aims, methods, and role in the community.[5]

Peter Drucker, in the *Effective Executive*, argues for the indispensability of values when he writes, "...any organization also needs a commitment to values and their constant reaffirmation, as a human body needs vitamins and minerals."[6] An organization which doesn't "stand for something" is paralyzed.

Values serve not only as the general goals of our behavior, we may rely on them more heavily when we are uncertain of the choice we should make in a certain situation. In their work on the development of models of change, Emery and Trist say, "Social values are here regarded as coping mechanisms that make it possible to deal with persisting areas of relevant uncertainty."[7]

Recently Thomas J. Peters and Robert H. Waterman, Jr., in their widely-read book, *In*

Search of Excellence, have argued that the most successful, the most effective corporations, are characterized by a number of basic features, one of the most important being the adherence to a basic system of values at all levels of the organization.[8]

Issues of value, however, may be given less than the full attention they deserve because of the difficulty of determining their relative importance, and because they do not carry unequivocal implications for action. For example, although physicians and lay-people alike may subscribe to the principles of the Hippocratic Oath, it is by no means clear that the preservation of life is to be sought where there are questions about the quality of the life that will be preserved or of the social and economic costs incurred in preserving it. The Library Bill of Rights includes strong statements on libraries' responsibilities in the areas of collection development, censorship, and access, but fails to gain public allegiance in the areas of child pornography or military secrets. In many cases we may not even be aware that we attach different degrees of importance to values until we are faced with the need to rank them.[9]

The new member of an organization, especially a professional organization where there may be an assumption that professional values have already been taught, is faced with the dilemma not only of choosing acceptable behaviors but of relating them to the values which these behaviors imply. The object of making such choices is to ensure the new member that he or she may continue to have opportunities to choose other successful behaviors and to pass on that learning for the benefit of others. Unfortunately, the expected behaviors of members of an organization which appear clear to a manager or officer may seem vague and chaotic to the incumbents.[10]

The articulation of organizational values should permit the new member within an organization or outside observer to make some judgments about the likelihood of any given behavior proving acceptable, whether within a professional association, a corporate enterprise, or an academic library. Placing those judgments within the framework of values reveals the option for a well-reasoned decision. The individual may also gain a better understanding of his or her own broader system of values. The challenge is to locate statements or situations where values may be inferred without the individual's engaging in search and negotiation behaviors that may prove costly.

Studies on communication within groups have shown that the new member will be most significantly influenced by the people with whom he or she comes most frequently into contact.[11] However, these people may either be unaware of organizational values or misunderstand them, or their position within the organization may be such that they do not receive messages articulating the values in undistorted form. "The greater the number of people through whom a communication must pass, the greater the likelihood that the communication will be transformed."[12] Where, then, shall the new member turn to learn the organization's values?

Peters and Waterman give one source to investigate when they write, "If you want to know a good company's shared values, just look at its annual report."[13] To test the validity of that observation, we chose to analyse the contents of the last ten years of annual reports of ACRL presidents for the reasons that they were easily accessible, because associations promote and preserve values, and because they represent an organizational affiliation which most of us share. They also lend themselves to analysis because they are short, they summarize the activities of the association from the viewpoint of an elected officer, one whose views probably reflect a broadly-based consensus, and they receive widespread distribution to the association's membership. As a result they should be considered influential in further promoting the association's values.

The limitations of using annual reports are that they are written by a different person each year. We hoped that because they represent the activities of an organization which is dedicated to the preservation of a number of socially desirable values, there would be a pervading sense of organizational purpose and context which overrides the limitations identified above.

METHODOLOGY

Carla Stoffle, ACRL's 44th president, wrote her annual report from a values viewpoint. She writes that "one of the primary responsibilities of a professional association is to remind us of our values and commitments."[14] She identifies four "overlapping" traditions: librarianship, higher education, professionalism, and the social responsibility of the individual in society. Because the report outlines these traditions so clearly and gives examples of the activities which fit within each tradition, we chose to analyze previous annual reports within the framework of the most recent report.

The appended table shows the degree of representation of commonly-mentioned activities in ACRL presidents' reports over the past twelve years. The vertical axis arrays each of the broad categories described by Ms. Stoffle. Within each category we have enumerated a general form of activity which corresponds to the value identified by Ms. Stoffle and is consistent with the examples she gives in her own report. Because most president's reports address activities rather than values, we have inferred as best we could the value that the activity represented, using the examples within Ms. Stoffle's own framework as a guide. The horizontal axis represents the year of each report we analyzed. An "X" indicates the appearance of that activity within a given year's report.

RESULTS OF THE ANALYSIS

Among the values which ACRL presidents frequently express is the promotion of the association. Stoffle describes this orientation as follows: "Among the values we share with other professionals are a commitment to the maintenance and development of our professional abilities; a sense of responsibility and accountability to our profession and to our clients; and a desire to preserve and promote our profession and its services."[15] Standards were a frequently mentioned activity, and the current existence of 22 association standards, many of which were developed in the past ten years confirms that level of activity. Conferences and programs, committee work and appointments, and the importance of chapters and their activities illustrate efforts to share ideas and develop the profession.

Mention of the status of librarians and the work of the Academic Status Committee is common, although such interest may also reflect the value attached to improving the financial status of librarians. Association concern with academic status was of greater interest in the early 1970s, and the new member would have reason to conclude that association concern with the principles of academic status is in decline. Governance and collective bargaining, mentioned in the early 1970s are likewise no longer a topic in the reports. Publications for the sharing of opinions with colleagues are mentioned in ten of the twelve years. Continuing education emerged as a concern only in the past six years.

Awards are mentioned more frequently in the past five years. following the establishment of the ACRL Academic Research Librarian of the Year Award. Stoffle sees awards as means of honoring leaders of the profession. (The literature on values describes myths as contributing to organizational cohesiveness. The recent emphasis on awards may be a contribution to the creation of the profession's new mythic leaders.) Personnel and career issues are rarely discussed as activities of importance, although membership in and financial survival of the association receives almost universal attention. Conferences and programs are mentioned in all years, fulfilling that role so clearly identified for them by Boyd Rayward as the "attempt to shape professional practice, disseminate professional opinion strengthen professional solidarity, and encourage a direction for continued growth in the profession."[16]

Values that do not receive much attention are those of higher education (research, teaching, and service), of librarianship as it relates to the free flow of information, and of the social responsibilities of the individual in society. When teaching is mentioned, it is in relationship to bibliographic instruction. While research as such is not often mentioned specifically, the continuing focus on publications, standards, and guidelines may be considered as related to research values. Such activities illustrate an interest in and commitment to the promotion and publication of research by the Association. Likewise, many of the activities mentioned under professionalism might be considered service.

Liaison to higher education groups is mentioned periodically, illustrating some underlying concern with the larger institutions and value systems of which academic libraries are a part, but less than might be expected. In the area of social responsibility as individuals in society, affirmative action was the only issue mentioned more than once. After being discussed several times in the 1970s, it was not again raised until 1982. Organizational and business concerns have received increasing attention since financial survival became an issue in recent years.

To summarize, organizational and professional concerns predominate over more absract intellectual and social policy concerns, at least from the viewpoint of the presidents as expressed in their annual reports.

CONCLUSION

Our concern at the beginning of this paper was for the new member of an organization and for the sources to which he or she would turn to increase the chances for making professionally successful decisions. Successful with respect to ACRL is defined as the opportunity for continued involvement and visibility within the association. We conclude that the new member could, by surveying the most recent reports and without necessarily having to infer the values that were represented, identify behaviors that would enhance his or her chances of success within the association. Our judgment would be that efforts to become involved in conferences and programs and in the drafting and review of standards would enhance continued involvement in the affairs of the association, at least at some level.

In our discussion we have argued that the activities described by presidents reflect a consensus of the membership that those activities were directed toward professionally desirable goals. Some organizational theorists, however, suggest that consensus does not occur until something exists around which it can occur.[17] In this light, goals and the values upon which they are based may turn out to be retrospectively defined rather than prospectively. Any new member, as well as most older members, will be aware that the path that would have led to success in the past is not necessarily the one that will lead there when he or she makes a decision. "Very little work has yet been done on the establishment of new systems of values, or on the type of criteria that might be adduced to allow their effectiveness to be empirically tested."[18]

MYTHS AND VALUES

Placing our arguments within the context of this conference, we suggest that our analysis shows that there is a mythical component to professional values statements, and that they may be more reflective of the wish that the fact. The reality, or anti-myth, is that activities are a possible guide to an organization's values when there are few explicit statements of those values. Peters and Waterman were correct in pointing up the value of annual reports, but they didn't show how the values would be found. Finally, we propose an alternate myth which itself should become the foundation for further analysis: the purpose of association annual reports is to recognize the service of the organization's membership through its committees and activities, not overtly to define its values.

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ACRL PRESIDENTS REPORTS

	1982	1981	1980	1979	1978	1977	1976	1975	1974	1973	1972	1971
LIBRARIANSHIP												
Linking agents for people & ideas	X					X			X			
Liaison to higher education groups	X		X								X	X
Relationship to other library groups	X			X		X						
HIGHER EDUCATION												
Research	X											
Service	X											
Teaching	X						X				X	
PROFESSIONALISM												
Academic Status		X				X		X	X	X	X	X
Awards	X		X	X	X	X						
Chapters & regional activities	X	X	X	X	X	X	X	X	X	X		
Committee work & appointments		X	X	X	X			X				
Conferences & programs	X	X	X	X	X	X	X	X	X	X	X	X
Continuing education	X	X	X	X	X	X						
Governance & collective bargaining						X		X	X	X		
Personnel & career issues		X	X		X		X					
Publications	X		X	X	X	X	X	X		X	X	X
Standards & guidelines		X		X	X	X	X	X	X	X	X	X
SOCIAL RESPONSIBILITY AS INDIVIDUALS												
Affirmative action	X							X		X	X	
User fees	X											
ORGANIZATIONAL/BUSINESS CONCERNS												
Finances	X	X	X	X	X			X			X	X
Membership size			X	X			X	X	X			
Planning, goals & objectives	X	X	X	X		X	X	X		X	X	
Staff work		X	X	X	X	X	X	X		X	X	
Structure & governance	X	X	X	X	X	X	X	X		X		X

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APPENDIX
ACRL PRESIDENTS

Annual reports of the following ACRL presidents formed the basis of this analysis:

1982	Carla Stoffle
1981	David Weber
1980	Millicent Abell
1979	Le Moyne Anderson
1978	Evan Farber
1977	Eldred Smith
1976	Connie Dunlap
1975	Louise Giles
1974	William Axford
1973	Norman Tanis
1972	Russell Shank
1971	Joseph Reason

THE DUAL JOB ASSIGNMENT:
HOW IT ENHANCES JOB SATISFACTION

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Abstract. For years the myth has existed that positions in public and technical services are very different and that the associated tasks cannot adequately be performed by the same librarian. The reality is that librarians all over the United States are successfully combining these duties in dual job assignments. The author proposes the dual job assignment, in which a librarian is assigned to work in two departments, as a viable solution for burnout and lack of job satisfaction.

A national survey of 100 academic libraries was conducted in order to determine the incidence of the dual job assignment in today's academic libraries, positive and negative aspects of the dual job assignment, personality or job traits which contribute to the success or failure of dual job assignments, and several other major factors. Dual job assignments in the reference and cataloging departments in particular are discussed in depth.

The results of this study have exploded the myth that public and technical services duties cannot be performed by the same person. The reality is that librarians everywhere are successfully combining their talents in dual job assignments.

Keywords and Phrases. Job Satisfaction, Burnout, Dual Job Assignment, Reference, Cataloging.

MYTH VS. REALITY

For years the myth has existed that positions in public and technical services are very different and that the associated tasks cannot adequately be performed by the same librarian. The reality is that librarians all over the United States are successfully combining these duties. Not only are they doing it well, but they like it, and so do their supervisors. The reality of combining reference and cataloging is exciting and I will share my experience with you.

Reference librarianship was my first love! I adored being constantly bombarded with intriguing, often unanswerable questions. I loved the thrill of the hunt. I thoroughly enjoyed being busy, busy, busy all of my working hours. Why, I didn't even mind the constant interruptions at the reference desk by students and faculty asking questions while I was trying to catch up on grading completed assignments from my library instruction classes! If all of this is really so, I asked myself, THEN WHY DO I FEEL LIKE I'M ON A TREADMILL?

REFERENCE BURNOUT

I had been experiencing some very unpleasant burnout symptoms[1] which were difficult to admit even to myself: I was working longer hours, yet I was not accomplishing or producing any more than I ever had; I found myself taking job-related problems home in the evenings and on weekends; I was experiencing sleepless nights, a first for me; I began reading professional literature at home, rather than relaxing with a good novel; I had become bored with my job; I had cut down on physical activities and exercised irregularly; I had begun to use break time at work to get away from my colleagues. Then the worst thing that can happen to a dedicated reference librarian happened to me: I actually began to resent patrons for "interrupting" me at the reference desk while I was frantically trying to catch up on my mountain of paperwork.

It was then that I knew I had to do something drastic. I had to admit that in my 10 years as a reference librarian and coordinator of interlibrary loans, I had allowed myself to become entrenched and rather too comfortable in my well-worn roles. Perhaps 10 years was enough time to dedicate to librarianship and I should set out to conquer other worlds! I would be an editor, a publisher, an abstracter, or enter any of a number of other glamorous professions. I was already editor and publisher of an index to articles about Florida business--maybe I should expand it into a full-time venture. Working on my index and business was fine as a hobby and side-line, but I discovered that I did not want to do it all day, every day. Besides, it was not a particularly lucrative entrepreneurship! Additionally, I needed the discipline of "going to the office" daily and I thrived on the professional companionship of my colleagues.

CATALOGING/REFERENCE POSITION

My internal struggles continued and as various positions became available in my library, I considered and rejected each in turn. I couldn't envision myself working in a position that was not at least partially reference. I considered working for 6 months or a year in the cataloging department, because I felt that cataloging experience would be an ideal complement to my reference work. Since there was no guarantee that my position in reference would be held for me, however, this was not the route to take. Eventually, a position which was half time cataloging librarian and half time reference librarian became available in my library, and with great trepidation, I took it.

How exciting--I would learn the mysteries of cataloging! I, who had made an A in cataloging in library school and had replied to my professor when she suggested that I would be a good cataloger: "Why in the world would I want to be a cataloger?" Not to mention that my best friend had told my professor that if she would just give her a C in the course, she would promise never to touch a card catalog again! I, who had worked with the OCLC Interlibrary Loan Subsystem since its inception, would finally learn what lines 110 and 245 and 505 really mean in a cataloging record.

I recalled the history of the cataloging/reference position in my library and began to contemplate how I would fit into this tradition. We had orginally hired a librarian with previous cataloging experience who had been searching in vain for a reference position. It seems that we had to agree with Burgess' findings that "cataloguing is seen as being less preferable to reference work."[2] We certainly had problems finding an experienced cataloger who wanted to be a full time cataloger. Since the reference department, as always, was greatly overworked and in desperate need of more librarians, it was eventually decided (at the urging of the librarian involved) that the position would be 15 hours per week in reference and 25 hours per week in cataloging. This was later made into an even split, with 20 hours in each department. The position is one of two official dual assignments in our library. The other is split between cataloging and special collections.

As a cataloger, a whole new world has opened to me. I understand the intricacies and quirks of online public catalog entries because of my close association with the system from the cataloging viewpoint. Sometimes this can backfire, though. When I'm working at the reference desk, I discover nasty cataloging problems which I then feel obliged to untangle when I'm wearing my cataloging hat!

I have found my reference background to be equally helpful in cataloging. Among other duties, I am responsible for cataloging dissertations, research reports, and theses completed at our institution. These are areas where it is particularly useful to be constantly aware of access points which a patron would likely employ. Working with students daily as a reference librarian keeps me on my toes when it comes to cataloging a thesis with a lengthy title on a weird (in my opinion) topic.

INTER-DEPARTMENTAL LIAISON

The librarian in the cataloging/reference dual assignment also functions as the informal liaison between the departments. There has always been a certain amount of tension between these departments, and I felt that it was because neither department was intimately familiar with the functions of the other. And, let's face it, the only way to become that familiar is to actually work in both departments. I fully agree with David Peele:

> ...reference librarians and catalogers still do not understand each other, and that understanding could be increased not only by having catalogers spend time in reference but also by having reference librarians do some work in one aspect of cataloging.[3]

Peele states that it should not be compulsory for catalog librarians already on the staff to spend time in reference.[4] Cubberley, in her response to Gorman's plan "On Doing Away with Technical Services Departments,"[5] reflects the view of many librarians I know:

> I dislike doing reference work, but I enjoy working on cataloging and acquisitions problems, some of which require great concentration. Such problems very likely could not be attacked by a person subjected to repeated interruptions for reference service.[6]

If there are "public services types" and "technical services types" (as Cubberley believes and Gorman denies), then I propose that a successful dual assignee must be a "public services type" at heart--one who is accustomed to continual interruption of work. This person is a natural for switching roles once a day. Later on I'll discuss the personality traits best suited for the dual assignment.

BURNOUT CURED

After only a few months in my new dual assignment, my previously outlined symptoms of burnout had virtually disappeared, and I felt that I had stumbled upon a cure. For the first time in months, I felt that the work which I was doing was useful and important, even though half of my job was exactly what I had been doing for 10 years. It was the combination of the 2 jobs that held the secret!

I read every article that I could find on dual assignments, which didn't take long. I was particularly interested in Avery's article about her multiple roles as a cataloging/reference librarian. The difference between my situation and hers was that she had begun as a cataloging librarian, and decided to work part of each day in reference because it "keeps cataloging from becoming monotonous for me."[7]

DUAL JOB ASSIGNMENT SURVEY

Because of my curiosity about dual assignments, as well as the dearth of information on the topic, I conducted a survey on the incidence of the Dual Job Assignment in academic libraries. I chose 100 libraries, using the latest edition of the American Library Directory. I selected at least one library from each state and the District of Columbia, and chose only those libraries with a professional staff of 10 or more. Smaller staffs have always had to resort to dual assignments simply to get the work done. I therefore was interested in dual assignments in libraries with medium to very large professional staffs. These libraries would be more likely to have dual assignments available as creative outlets for librarians, as well as to improve cooperation and communication between departments.

DUAL JOB ASSIGNMENT QUESTIONNAIRE

As I began to design the Dual Job Assignment Questionnaire, I encountered the most difficulty in making certain that respondents viewed the dual assignment exactly as I did; otherwise, the results would not be valid. I conducted extensive pre-tests among colleagues at my institution, as well as those at nearby colleges. After numerous revisions, I decided to include a definition of the Dual Job Assignment on the questionnaire itself: "The Dual Job Assignment is one in which a librarian is officially assigned to work regularly in 2 or more departments of the library. By 'officially assigned,' we mean more than just an occasional afternoon in another department. Think of the Dual Job Assignment as one which is advertised as such: e.g., Cataloging/Reference Librarian, etc." Additionally, just to ensure that we were all identifying the Dual Job Assignment in the same way, I included more explanatory information in the cover letter which was sent to each library director.

The Dual Job Assignment Questionnaire solicited information about which departments have dual assignments, why the dual assignment was initiated, if librarians are satisfied, positive and negative aspects of the dual assignment, and personality or job traits which contribute to the success or failure of dual assignments. Responses were cross-tabulated with number of FTE (Full Time Equivalent) librarians on the staff, as well as by the size of the library. Respondents who did not have dual assignments had to answer only 2 questions, and it was emphasized in the cover letter that these "no" responses were equally valuable to the study.

A primary concern during the creation of the Dual Job Assignment Questionnaire was that the instrument be short and concise. A respondent comment that the questionnaire was "brief, well organized, and easy to answer" verified that the goal had been attained. Because the initial response rate was so high, no follow-up was sent.

SURVEY RESULTS AND ANALYSIS

Seventy-three of the 100 libraries responded to the questionnaire. Seventy-two of these were usable, resulting in a 72% response rate. The libraries were then grouped according to size. Those with professional staffs of 10-25 (34 libraries) were designated as medium-sized. Those with professional staffs of 26-99 (33 libraries) were designated as large libraries. The remaining 5 libraries, with professional staffs ranging from 101-223, were designated as very large libraries. Each questionnaire response was then cross-tabulated by library size. Libraries who do have the Dual Job Assignment have somewhat smaller FTEs than those libraries who do not, but the variation is so slight that it is insignificant. The overall mean FTE for reporting libraries is 38 librarians.

More than half of the libraries surveyed (38 or 53%) have Dual Job Assignments; 35 libraries, or 47%, do not have Dual Job Assignments. A majority of the libraries who do have the Dual Job Assignment (20 or 53%) are medium-sized libraries; 16, or 42%, are large; only 2, or 5% are very large in size. I was surprised to find that so many libraries do have dual assignments, and I expected them to be more prevalent in the larger libraries. A library with a larger professional staff, I reasoned, would certainly be in a better position to provide more flexibility for dual assignments. But, unexpectedly, the Dual Job Assignment is more popular in medium-sized libraries than it is in large to very large libraries.

The departments in which librarians hold Dual Job Assignments are quite varied. The most common is the reference/collection development split. In fact, assignment to reference and almost any other department is by far the most popular combination. Although this survey was concerned only with formal types of dual assignments, it was obvious from respondent comments that sharing of job duties among departments is continually occurring on an informal basis. One library director who responded "no" to the survey did note that "at the individual's option, cataloging and collection development librarians teach BI courses. Librarians from collection development and library administration office also work some hours each week on the reference desk." A recent analysis by DeVinney and Tegler of jobs done by beginning librarians shows that "94% of all librarians, both technical and public service, were involved in answering reference questions."[8] Because I am in a reference/cataloging position, I was particularly interested in the incidence of this combination. Twenty-one percent (8) of the libraries reported the reference/cataloging Dual Job Assignment. Not all respondents feel that the Dual Job Assignment is a sound idea. This library director must be a former cataloger: "I don't recommend cataloging outside the catalog department," but in other areas it "seems OK."

Libraries reported a variety of reasons as to why the Dual Job Assignment was originally initiated. Two of these stood out. The first was financial. Thirty-seven percent (14) of the libraries reported that there had been staff cuts or that they had been unable to increase staff and that the Dual Job Assignment was a viable alternative. This corroborates Foster's observation that "most dual assignments have been initiated out of necessity, not because the idea was considered basically sound."[9] The other major reason for initiation of the Dual Job Assignment was to utilize the subject expertise of the librarians on the staff.

A wide majority (79% or 30) of the library directors responding to this survey reported that librarians with Dual Job Assignments are generally satisfied with the arrangement. One respondent noted that "almost all volunteer for dual assignments." Again, a majority of the respondents (79% or 30) report that the Dual Job Assignment is working well in their libraries. Ten percent, or 4 libraries, report that it is not.

Most of the libraries (74% or 28) indicate that they plan to keep the Dual Job Assignment. Ten percent, or 4 libraries, do not plan to keep the Dual Job Assignment in their libraries.

Statements of positive and negative aspects of the Dual Job Assignment in the surveyed libraries were enlightening. Better communication, cooperation, and understanding between departments was cited most often as a positive aspect (60% or 23). Also cited was increased job satisfaction (53% or 20), more flexibility for the dual assignee, and the belief that the librarian does a better job. A library with reference/collection development positions reports that "interaction with faculty enhances the status of the librarians as faculty." Overwhelming enthusiasm for the Dual Job Assignment came through loud and clear in the comments. The negative aspect of the Dual Job Assignment which was cited most often (45% or 17) is that the librarian does not spend enough time in one department or the other. The fact that the librarian has problems pleasing two supervisors was mentioned by 32%, or 12, of the libraries. One respondent reported that "someone is always feeling cheated." Surprisingly, only one library mentioned that the dual assignment means more paperwork for the library administration. One director summed up the frustration of many respondents: "We just need more librarians!" Sound familiar?

The most revealing portion of the survey was when respondents were asked to identify any specific personality or job traits which contribute to the success or failure of the Dual Job Assignment. Respondents agreed that successful dual assignees must be motivated, enthusiastic, well-organized and have the "personality to shift gears once a day." One respondent noted that "if you have the right person, no problem. Most folks seem to get frustrated by leaving one job and going to another, leaving tasks incomplete." Another bluntly stated that "it's all a matter of personalities." Most respondents agreed that the individual's flexibility is an absolute necessity. A number of respondents mentioned that the dual assignment has a better chance for success if dual assignments are complementary, rather than in two unrelated departments. My favorite reply was: "User (student) -and faculty-oriented vs. task oriented." Librarians with an appreciation for student and faculty service, regardless of the department in which they work, have a greater chance for success in the Dual Job Assignment!

REASONS FOR SUCCESS

Perusing the survey results led me to examine more closely the varied reasons for the success of my dual assignment in reference and cataloging. I give the majority of credit to my two supervisors. They are both very flexible and understanding, but nevertheless do level with me if either feels that there is a problem with the number of hours worked in the department. Additionally, the complementary nature of the work of the departments naturally lends itself to the Dual Job Assignment. I am also fortunate that the library administration encourages the Dual Job Assignment. My work habits and personality suit the role of the dual assignee--I crave variety in my work and I look forward to spending part of each day in two departments. I also enjoy the flexibility offered by the dual assignment. For example, near the beginning and middle of the term, my assignment in the reference department is heavier because I spend more time teaching classes and conducting online searches. Near the end of the term and during breaks, I spend more time in cataloging and I am able to concentrate on problems in depth. My reference desk hours remain the same throughout the term, of course.

JOB SATISFACTION

Now that I am in the somewhat unique position of working in both reference and cataloging, I wish to comment on job satisfaction. Numerous authors have researched the job satisfaction of librarians. Chrisman's findings are contrary to those of Burgess, Chwe, and D'Elia. Chrisman found that catalogers "are comparatively less satisfied with their jobs"[10] than are librarians in other positions. Studies conducted by Burgess[11] and Chwe[12] concluded that there is no difference in the level of job satisfaction between reference librarians and catalogers. They both noted, however, that catalogers are significantly less satisfied than reference librarians with the social service aspect of their jobs. D'Elia likewise found "no meaningful pattern of differences in the degree of job satisfaction experienced by public or technical services librarians in academic libraries."[13]

I have found the major problem with job satisfaction in cataloging to be the lack of feedback from users. Let's face it, no one is ever going to say to me, "Hey, you did a great job cataloging that thesis on alum sludge!" I find that I have to search within myself for reassurance that I am doing a good job and that the work that I'm doing is important. When I am at the reference desk, I get constant pats on the back in the form of comments from satisfied users (this can work in reverse, too). On the other hand, plunging into cataloging is a relief after the rigors of teaching two classes in a row, and conducting 3 online searches--and all in one morning!

CONCLUSION

After more than a year in my Dual Job Assignment, I am in a position to recommend such an experience to other librarians suffering from burnout symptoms and lack of satisfaction in their jobs. A combination of jobs in public and technical services is the best arrangement, because it's the easiest way to keep users' needs in mind at all times. This arrangement is not for everyone, of course, but the results of my study have exploded the myth that public and technical services duties cannot be performed by the same person. The reality is that librarians everywhere are successfully combining their talents in dual job assignments.

WANTED: flexible, motivated, enthusiastic individual. Anyone interested?

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TRANSBORDER DATA FLOW AND INTERNATIONAL COMMUNICATIONS

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Abstract. Rapid developments in the telecommunications and computer industries have created the possibility of global access to information. However, national concerns and aspirations have come into conflict with the concept of free access to information. On the issues raised by transborder data flow -the electronic transmission of data across national borders- the United States has often found itself at odds with other nations over questions of personal privacy, cultural autonomy, and economic competition. National and international laws are being enacted which may have a significant impact on library operations such as cataloging and lending, and on library management and technology.

Keywords and Phrases. Transborder Data Flow, International Communications.

Since the 1960's, two opposing sets of sources have been tugging at the information industry. On the one hand, intellectual, economic and political forces have created numerous programs designed to improve international communication. Networks such as UNISIST (United Nations in Scientific and Technical Information), INIS (International Nuclear Information System), CLADES (Latin American Centre for Economic and Social Documentation), AGRIS (International Information System for the Agricultural Sciences and Technology), UBC (Universal Bibliographic Control), and UAP (Universal Availabilty of Publications) have bound nations together by facilitating access to information.

The vision of a web of interconnected and interdependent nations bound together by networks of information has had a powerful attraction for librarians, committed as they are to the principle of free access to uncensored information. But opposing forces have also been at work, loosening the bonds created by these cooperative efforts. One of the stated goals of the Organization for Economic Cooperation and Development (OECD) is "to provide free access to global knowledge." Yet the OECD has recognized also that information is now the object of "sharp competition,"[1] subject to market and political pressures as well as intellectual and humanitarian ones. A decade after the development of these programs few nations still subscribe wholeheartedly to the concept of the free flow of information.

Much debate concerning unrestricted access to information has crystallized around the issue of transborder data flow. In a recent review of IFLA activities, Russell Shank thought transborder data flow "a critical topic for librarians," because it involves "the competing influences of concern for national interests and of desire to share intellectual wealth."[2] This paper outlines the controversial issues, describes some of the barriers erected by both the developed and the developing nations to the free flow of information, and explores some implications for library services and operations.

Transborder data flow -the electronic transmission of data across political boundaries- is the consequence of the rapid convergence of two technologies, those of the computer and of telecommunications. Advances in computer technology have made computing services widely available throughout the world, and the expansion of telecommunications channels in the form of undersea cables and synchronous orbiting satellites have made the transmission of data both rapid and relatively inexpensive. Telecommunications/computer links transmit billions of bits of data daily in medicine, business, insurance, transportation, diplomacy, newsgathering, and other fields.[3] We are gradually realizing that the widespread availability of information can also create serious problems. As more and more data is accumulated for purposes of banking, credit, insurance, employment, welfare, national security, and research, the specter of misuse begins to loom.

The potential for misuse arises from the fact that electronic data is by nature different from data in its more traditional forms. Electronic data is ephemeral, is not subject to human scrutiny, and often follows extremely complex routing in the course of processing, thus increasing the potential for error and/or abuse. Much more than with conventional data, there is room for errors, security leaks, and unscrupulous treatment.

The problem is magnified when data is transmitted across political boundaries. Businesses and governments as well as individuals feel increasingly vulnerable as data about them is accumulated in data banks abroad. In this climate, tensions are bound to arise.

The issues raised by transborder data flow can be classified as social, political, cultural, and economic. The social issues involve principally questions of personal privacy; the political issues concern national sovereignty and security; the cultural issues are expressed in terms of cultural autonomy and integrity; and the economic issues involve the development of local information industries. These four aspects of international data flow are intimately intertwined. In the interest of clarity, however, they will be discussed separately.

The economic aspect is perhaps the most critical and is basic to an understanding of the other issues. The information explosion has brought about a profound change in the nature of commerce in the industrialized nations. In the United States it has been estimated that information, interpreted in a broad sense, accounts for almost half the GNP, and that perhaps one-half to two-thirds of the labor force is engaged in information-related activities. Information has also become an export commodity and, in contrast to other exports, an abundant one. The U.S. is the world's largest supplier of hardware, satellites, and various forms of data.[4] Canada, France, and Japan have also developed important information industries.

Closely linked to the information explosion has been the development of multinational corporations. Centralized data banks permit the multinationals to achieve fine control over inventories, warehousing, shipping and production scheduling, credit and employment patterns. Without this "central nervous system"[5] the vast economies of scale effected by these companies would not be realizable. And many of the services now taken for granted, such as credit cards, instantaneous airline reservations, and international newsgathering, would not be available.

The information explosion has not occurred with the same intensity around the globe. The level of sophistication achieved by the United States technology is as yet unmatched by other countries which are obliged to purchase their hardware from us. The U.S. leads also in processing services, and data gathered abroad is sent here over telecommunications channels for processing and storage. A similar imbalance exists between developed and developing nations in general. The latter function mainly as suppliers and consumers of information, a state which is a serious irritant to them. The U.S., business community is convinced that the resultant economic imbalance is the underlying cause of every controversy engendered by transborder data flow.

Personal privacy is the issue that has so far been most discussed and most legislated. The Europeans became alerted to the misuse of personal data in electronic form much earlier than did the Americans, and began enacting data protection legislation. Sweden was first to pass a Data Protection Act in 1973. This law regulated the kind of files for which personal data may be collected and the length of time information can be held, and provides for an individual's access to records for purposes of correction. A Data Protection Board grants permission for the creation of files and oversees the data processing industry, while a Data Inspectorate governs the export of data concerning Swedish citizens. If data is considered too sensitive, a "passport" may be denied.[6]

Some twenty countries have passed data protection laws most of which contain the same core provisions: they mandate regulatory boards to license the creation of new data files, they provide access for correction, and they obligate the record manager to act responsibly. The also regulate the transmission of personal data abroad.[7] Many have been granted punitive powers.

There are, however, significant variations in laws that impede the free flow of data across national boundaries. Some countries extend privacy protection to legal as well as to natural persons. A company can petition to see records about itself held by another company or by the government. Data security requirements also vary from country to country. West Germany prescribes strict encoding requirements on personal data. Great Britain, however, demands that encryption codes be made available to the British - Post - Telegraph -Telephone (PTT) since the law requires that transmitted data be readable by humans.[8]

In the opinion of many governments not only personal privacy but national sovereignty and national security are jeopardized by the free flow of information. The issue of national security and sovereignty have been most directly addressed by the Nora-Minc report submitted to the French government in 1978, and the Clyne report to the Canadian government in 1979. These documents express concern that a large amount of data -personal, commercial, political- about their countries is stored in computers abroad, mainly in the U.S.[9] The Swedes noted with alarm that data on Swedish citizens was contained in some 2,000 systems abroad.[10] Jan Freese of the Swedish Data Inspection Board summarized the problem when he asked: "Would you buy computer services from Mr. (Idi) Amin?"[11]

While the industrialized nations have been addressing the issues of personal privacy and national sovereignty, developing nations have emphasized their concern with cultural autonomy. They worry about "cultural inundation" and "cultural imperialism" and resent the intrusion of American values as transmitted through the mass media. Time's international edition is now banned in 18 countries. Brazil has created censorship centers at major post offices to intercept foreign material that is "contrary to public order" or "counter to morality and good standards of behavior."[12]

American businesses have been deeply troubled by the restrictions posed by personal privacy and censorship laws. They suspect that economic motives underlie the concerns for human rights and cultural autonomy, and that data protection is but a euphemism for protectionism. The multiplicity of laws and the power of the regulatory agencies are perceived as concerted efforts by these governments to drive American businesses out of their country. The efficiency of business operations is highly dependent on centralized recordkeeping and processing, Americans maintain. American Express, for instance, operates in 83 different countries but maintains only four computer centers. Banks in particular feel extremely vulnerable since their international operations depend on quick access to information about money markets and clients around the world. Will the patchwork of often incompatible laws force them to establish computing facilities in every country through which data passes or in which they operate? Will it lead to the establishment of "data havens" in countries with lenient privacy laws, or in international waters, or even in space?

Both the industrialized and the developing nations are vitally concerned with encouraging the growth of domestic information industries. From their point of view the presence of a "commercially mature" U.S. information industry is a constant drain in jobs and currency, a drain which can only be stemmed with government support. A number of new impediments to the free flow of information have been created by foreign governments. One such obstacle is restricted access to telecommunications channels. Government-controlled communications agencies have become increasingly reluctant to lease private lines to foreign companies, forcing them to use the public networks and greatly increasing the cost of telecommunications. Other non-tariff barriers to the free flow of data take the form of licensing fees, taxes on the export of data, and the creation of standards and protocol that make equipment manufactured abroad incompatible with local products and services. The PTT's in England, for instance, have placed a surcharge on access to U.S. data banks. The Wall Street Journal's attempt to publish in Europe was delayed because it was denied permission to operate its own earth-satellite receiving station. Using government satellite services makes the venture much more expensive.[13]

The U.S. approach to transborder data flow is significantly different from those of the other industrialized nations and of Third World nations. Ideologically, Americans are committed to free access to information. In contrast to the "omnibus" approach favored by the Europeans (the creation of bureaucracies, the extension of legal rights to corporations in privacy law, the granting of sweeping enforcement powers to regulatory agencies) the U.S. favors a more selective approach that distinguishes between the individual and the organization and between the public and private sector, and that regulates as little and as specifically as possible. Thus, while laws have been passed addressing privacy issues in banking, credit, and employment, there has been no broad legislation regulating the creation of data banks. American have preferred traditionally to rely on the courts rather than on regulatory agencies as protection from the invasion of privacy.[14]

These differing perspectives on the issues raised by transborder data flow have been expressed with a good deal of vigour in international fora such as the Intergovernmental Conference on Strategies and Policies for Informatics (SPIN), the Conference on African Informatics, or the various conferences sponsored by the Rome-based Intergovernmental Bureau for Informatics (IBI). At the latest such major gathering, held in Havana in May of 1983, a distinct change in attitude was evident. Participants seemed to have set aside ideological fervor in favor of concrete economic planning that would effect a transfer of technology from the "haves" to the "have nots." Government representatives, international financiers, and representatives of large computer firms met to discuss concrete projects that would be lucrative and would also help create an informatics infrastructure. For instance, the Argentines and the Italians talked of jointly developing a legal data base, and the French and Tunisians discussed the development of Arabic language software.[15]

Much of the current work on transborder flow issues is being done by the Council of Europe (COE) and the Organization for Economic Cooperation and Development (OECD). The COE has drafted a Convention for the Protection of Individuals with Regard to Automatic Processing of Personal Data, whose intent is to harmonize the data-protection legislation of European countries. The Convention has been adopted by the Ministers of COE but no state has yet ratified it.

The U.S. refused to participate in the drafting of the Convention on the grounds that the issues raised by transborder data flow are too nebulous at this point to justify a binding agreement. Further, U.S. business leaders object strongly to some key aspects, such as the granting of legal status to non-natural persons and the mandate to pass domestic legislation to bring local laws in harmony with the provisions of the Convention.

Americans are more in sympathy with the Guidelines Governing the Protection of Privacy and Transborder Flows of Personal Data proposed by the OECD's Committee on Information, Computers and Communication Policy, which address the issues of collection limitation, data quality, purpose specification, use limitation, security safeguards, openness, individual participation, and accountability. Adherance to these principles is voluntary. U.S. Government representatives have urged the business community to comply, fearing that if it did not, some European countries might deny export licenses to data which in their opinion would not receive adequate protection in the U.S.

It is difficult to predict how successful each side will be in imposing its attitude toward access to information. An important factor in the attempt to regulate transborder data flow has been fear of the multinationals.

Whether their encroachment can in fact be resisted remains to be seen. Then too as other countries successfully develop their own information industries, fear of U.S. influence may abate. The United Nations is currently engaged in a vast country-by-country research project of the multinationals which may provide some answers.

But the issues are not entirely economic. It is hard for Americans to accept the fact that most of the world does not have the same attitude toward information as they do. It has been estimated that perhaps no more than one-quarter of the world press is free.[16] Many countries do not believe in freedom of information. Since the developing and the socialist countries together constitute a majority in the U.N., it has not been difficult for them to propose a New World Information Order (NWIO) which would involve licensing of journalists, pledges from reporters to uphold the views of the government, and censorship of international newsgathering services.

Thus the ideal proposed by the International Federation of Librarians' UAP program -"that all published information, wherever and whenever published should be available to anyone, wherever and whenever"-[17] is obviously far from realization. If the restrictions on the free flow of data are enacted and enforced, the library world will feel the consequences as sharply as the business world. Libraries are, after all, both consumers and providers of information. What specific effects these restrictions will have on library operations and services no one can tell yet. But it is important that questions be raised. For instance, will the various laws, regulations, and economic and technological barriers developed in the last decade prevent libraries from receiving and exporting certain types of data or documents? Will information transmitted electronically be subject to more intense scrutiny than information in print form? What mechanisms can be devised to make sure that copyright laws are observed when bibliographic data or texts are transmitted electronically across national borders? What will be the effect on library technology? Will costs rise as a result of incompatible hardware or protocols? Studies by IFLA or by U.N. agencies would shed some light on the implications of a phenomenon which is part of our daily life but which we understand very little.

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MERIT EVALUATION: A PROPOSED MODEL

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Abstract. Recent literature has indicated a growing interest in faculty evaluation systems within academic libraries. This paper describes an evaluation system designed for use in an academic library. The system was designed following faculty interviews and a review of the literature. With faculty opinion as the primary data base, the system was then designed to bring objectivity, currency, and consistency to the evaluation process. The paper reviews selected current literature on evaluation systems in libraries, outlines the documented faculty concerns about evaluation and describes an evaluation system that has been created in response to these concerns.

Keywords and Phrases. Evaluation system; goal setting; merit evaluation; performance appraisal; personnel evaluation.

APPROACHES TO EVALUATION

Perhaps nowhere else do myths and realities clash so strongly as they do when people find themselves being personally or professionally evaluated. The myths we often hold focus on our roles as faculty who act professionally and do not need annual reviews. We see ourselves as professionals, much as physicians or lawyers might, who operate ethically and competently in a professional world. And in this world, as in medicine or law, formal evaluations have the aura of punishment for those who have not performed properly. Of course, the reality is that not all people perform at the same level. Not only do we need some form of feedback to help maintain our professionalism, but also we cannot escape merit evaluations in the university setting. What we can do, though, is develop evaluation systems that reflect our needs as feeling individuals who deserve to be treated in a fair and balanced manner.

In light of these concerns, the recent literature pertaining to library personnel evaluation recommends repeatedly that libraries adopt performance evaluation systems based on goal setting and enabling objectives (De Prospo[1]; Hilton[2]; Berkner[3]; Kroll[4]). Such performance systems are contrasted in the literature with more traditional approaches. Particularly decried are such common methods as "the traits rating approach" (De Prospo[5]) and "man-to-man ranking" (Hilton[6]). The traits method consists of evaluating librarians against a checklist of supposedly desirable personality traits, i.e., dependability, honesty, loyalty, etc. Man-to-man ranking is accomplished by comparing the performance of one librarian against that of another in the absence of absolute criteria for evaluation.

In contrast, the objectives based systems compare a librarian's performance against a set of operationalized goals; the evaluative question is thus: How well has a librarian achieved a set of specific goals or objectives? Ideally these objectives are ones into which the evaluatee has had substantial input. While objectives based systems are clearly favored in principle in the literature, no models designed for use in academic libraries could be located. One has to wonder how widely implemented such systems really are in research libraries. The literature acknowledges that they are definitely time consuming to create and to maintain. What do these systems look like and how feasible are they with librarians who are also faculty members?

The purpose of this paper is to present one such system designed for a research library at a major midwestern university. This library not only houses the university's collection, but is also the administrative home for Special Collections and two editorial units as well as a campus wide instructional support agency. This arrangement contributes further to the difficulties of developing a fair and flexible evaluation system for its disparate faculty. The features of one such system will be described. Perhaps as important as the system's features are their raisons d'etre; therefore, attention will be given to the rationale for the system's distinguishing characteristics.

THE PRELIMINARY STUDY

The design of the personnel evaluation system described herein was preceded by a qualitative study of evaluation practices and faculty attitudes conducted by the Faculty Development Committee (a standing faculty committee charged with developing activities or programs to enhance professional development). The study was compatible with naturalistic assumptions and the associated qualitative methodologies (Guba[7]). That is, the two goals of the study were exploratory rather than confirmatory. One goal was to understand more completely what the faculty thought and how the faculty felt about their evaluation. The other goal was to develop an accurate description of existing evaluation practices across the various divisions of the library.

The methodology consisted of extensive interviews with library administrators and a stratified random sample of library faculty. In addition, currently and previously used evaluation forms and accompanying documentation were examined.

Space limitations do not permit a full discussion here of the complete results of the study. The focus instead will be on those results most responsible for the features of the personnel evaluation procedure presented below. Briefly, the results of the evaluation study are as follows:

1. There was a good deal of confusion among the faculty regarding the purposes of the two major annual evaluations, i.e., one supposedly for performance improvement but filed permanently in the Dean's office and another required by the University for the distribution of merit salary increases. Faculty were unsure of the relationship between the improvement evaluation and the merit evaluation.

2. Many felt that having to perform two annual evaluations for each faculty member was excessive; furthermore, the impact of the improvement evaluation on senior faculty members with tenure was doubted.

3. While a standard form existed for the improvement evaluation, there was no form to provide guidance in the merit evaluation, only the mandate that faculty be given an overall 0-4 rating. Consequently, there were wide variations among divisions in criteria and procedures for merit evaluation. Of particular concern was the reluctance of some supervisors to recognize the traditional faculty responsibilities of research and service in the merit ratings of those they evaluated.

4. Most faculty felt that there was insufficient communication with supervisors regarding evaluation. Faculty were not informed of the criteria for merit evaluations in advance. Frequently they were given no justification for the merit ratings they received. In some instances, faculty were not even informed of their merit rating; it was turned in to higher administrators without their knowledge.

5. Many faculty felt that their responsibilities were not well understood by their supervisors; they were skeptical that their evaluations were based on shared expectations regarding the performance of their duties.

6. The concern was expressed that supervisors were not adequately evaluated regarding their administrative and supervisory performance. Since criteria for merit evaluations were lacking, it was possible for administrative performance to be ignored in the rating process.

This study of evaluation practices was important for two reasons. First, a great deal was learned about how evaluation was conducted in the library and about how faculty responded to existing practice. The study established a solid information base in which recommended changes could be grounded. Such is the strength of the qualitative methods used in the study (Glaser and Strauss[8]). Second, the study turned out to be very important in enhancing the credibility of the subsequently created evaluation system and, therefore, in winning acceptance for it. At many points during the debate over revised procedures, the study's well researched conclusions were a stabilizing factor. The study was similar in some ways to the more specific self studies described in the Association of Research Libraries' Management Review and Analysis Program, MRAP (Buckland[9]). In the spirit of MRAP it should be noted that broad based faculty involvement in personnel evaluation policies is important for their successful implementation. It would be unwise for any library to attempt to adopt the following faculty evaluation procedure without first determining empirically its suitability for a specific context.

A FACULTY EVALUATION SYSTEM

Following the evaluation study, the Dean appointed a subcommittee composed of the Chairs of the Faculty Executive Board and the Faculty Development Committee as well as the Library Affairs Administrative Intern and charged it with creating specific evaluation procedures that would address the concerns raised by the study. Because the investigation had revealed that improvement and merit evaluations were thought to be redundant, the subcommittee decided to design a merit evaluation procedure that could be used for improvement evaluations as well, if desired. It was the subcommittee's opinion that improvement evaluations could be conducted at the option of either a faculty member or a supervisor using whatever forms and procedures were mutually acceptable. Merit evaluations resulting in a single number, however, were required annually by the university, and the evaluation study had indicated wide discrepancies in the conduct of these evaluations. Therefore, merit evaluation seemed to be the area of greatest need.

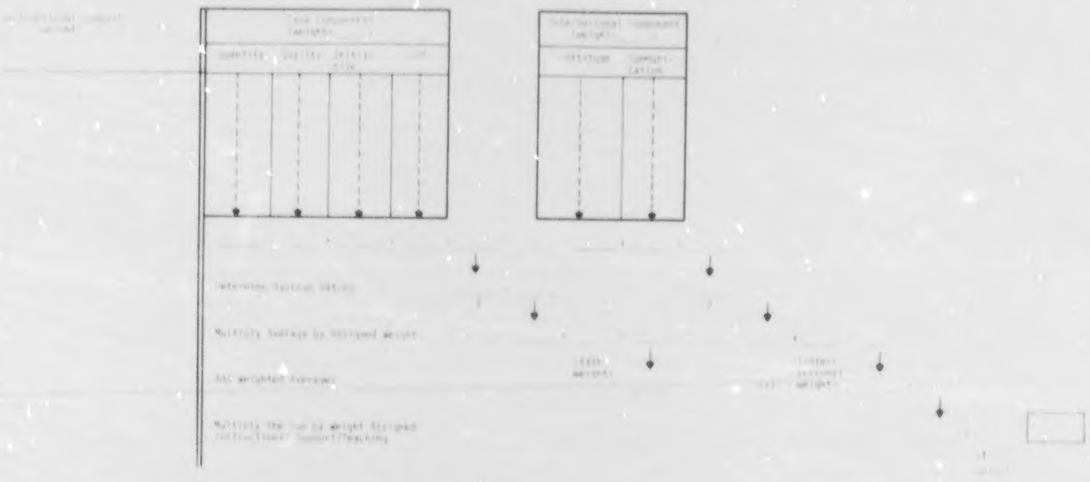
The following is a discussion of the features of the LFES (Library Faculty Evaluation System) designed by the authors. The word "system" is used intentionally to indicate that more than a "form" was created, indeed more than a "procedure." The features are accompanied by the rationale for their inclusion.

Common Classes of Responsibilities

One of the challenges facing the subcommittee was how to bring some commonality to merit evaluation across the various divisions and still maintain the flexibility demanded by disparate job responsibilities. Clearly not everyone in the library performed the same kinds of tasks; however, the sense that colleagues in different divisions were perhaps evaluated using more favorable standards created resentment between units. In the interest of commonality, the LFES divides every faculty member's responsibilities into four major categories, i.e., Instructional Support/Teaching, Research/Creative Activity, Service, and Administration. Instructional Support/Teaching is defined in, or related to, a person's position description. Research/Creative Activity is that effort which serves to advance the discipline or the state of the art. Service responsibilities are professional contributions to the department, the college, the university and the discipline at large. Administrative responsibilities include administrative as well as supervisory activities. The assumption here is that everyone's job responsibilities fit into some combination of these four categories.

In addition to providing some consistency across divisions, these particular categories hold some significance. As mentioned previously, one of the concerns emerging from the evaluation study was that research and service contributions were sometimes ignored in merit ratings. The subcommittee wanted to legitimize these faculty functions through the LFES. One of the other issues mentioned earlier was that of administrative performance evaluation; many felt that this area of performance was not examined by existing evaluation procedures. Here again, the subcommittee sought to legitimize and highlight this major category of responsibility.

Therefore, the form designed for use with LFES has five pages, one page for each major category and one summary page. Each page is slightly different, but the basic premises are the same. Figure 1, the Instructional Support page, is illustrative. The entire LFES form appears as Appendix A.


Instructional Support weight
Task Component (weight)
Quantity
Quality
Initiative
Interpersonal Component (weight)
Attitude
Communication
Determine Average Rating
Multiply Average by Assigned Weight
Add Weighted Averages
(task weight)
(interpersonal weight)
Multiply the Sum by Weight Assigned Instructional Support/Teaching

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Negotiated Weights

LFES is designed so that varying weights in the form of percentages can be assigned to the four major categories of responsibilities. (Note the "weight = ____" line under Instructional Support.) This feature is based upon two results of the evaluation investigation. One was the desire to maintain flexibility across positions; the differential importance of the major categories within individual positions can be reflected in the merit evaluation via variable weights. Any combination of weights among the four categories is possible as long as all four sum to 100 percent. For instance, those with no administrative responsibilities would assign a zero weight to the Administration category.

The second reason for this feature has to do with the perception that communication between supervisors and those they evaluated was poor or nonexistent. It was apparent to the subcommittee that opportunities for communication about evaluation would have to be made an integral part of the system. Given the discomfort frequently associated with evaluative discussions, it was not surprising that existing practice was to avoid discussions of criteria and feedback on performance. If conversation about evaluation is desired, such discussion must be encouraged and supported by the very structure of the evaluation system. Therefore, LFES requires that the weights assigned to each of the four major categories be determined by negotiation between each faculty member and his/her immediate supervisor. Any negotiations that fail to reach agreement are to be arbitrated by the administrator at the next higher level.

Special Goals and Responsibilities

Largely for the two reasons cited above, flexibility for individualization and communication of shared expectations, the subcommittee included space on each page of the LFES form for the listing of individual goals related to a faculty member's responsibilities. (This space appears as the blank column on the left in Figure 1.) This feature provides an opportunity for faculty, in conjunction with their supervisors, to define and elaborate the four major categories in terms of their positions. The content of the left handed column is not intended to be merely a job description against which an individual is evaluated. The weaknesses of such an approach were flagged by De Prospo[10]. Rather, this area should be completed with negotiated responsibilities that reflect the faculty member's goals in each of the major categories. The responsibilities listed are subject to renegotiation if circumstances in the library change or the faculty member feels he/she would benefit more from adjusting priorities.

The benefits of this feature are many. Faculty members know in advance the criteria against which they will be evaluated. Furthermore, they have had considerable input into the criteria. Evaluation, therefore, becomes a joint process rather than a judgement imposed from above. The library benefits by capitalizing on individual strengths and interests rather than issuing standardized job descriptions into which every faculty member must be forced (De Prospo[11]).

Task and Interpersonal Components

Most work performed within libraries involves the interaction of people. Success in some positions--particularly those in administration and public services--depends heavily on interpersonal skills as well as specialized content knowledge. The two boxes in Figure 1 labeled "Task Component" and "Interpersonal Component" were included to reflect the importance of interpersonal skills in many library positions. Note that each component can be differentially weighted in order, once again, to individualize the evaluation criteria. The weights assigned to the two components can be any combination that adds to 100 percent.

The nouns within the two boxes are merely examples of how the two components might be further defined. One would expect that these elaborating factors might be different for different positions within the library. Ideally, department and division heads would come to some agreement regarding these criteria within similar positions, as well as some consensus on the relative weights appropriate for task and interpersonal components. Such tentative decisions should be shared with the appropriate faculty and thoroughly discussed before the evaluation system is implemented.

How the System Works

Figure 2 is an example of how the Instructional Support page of the LFES appears when completed. The steps involved would be basically the following:

1. At the beginning of the evaluation year, a faculty member and the immediate supervisor/administrator meet to negotiate the weights to be assigned to Instructional Support, Research, Service, and Administration.

2. During this initial meeting, the faculty member also discusses with the supervisor his/her goals for the coming year. This meeting provides an opportunity for both

to reach agreement on major responsibilities and objectives to be placed in the column on the left side of the LFES form.

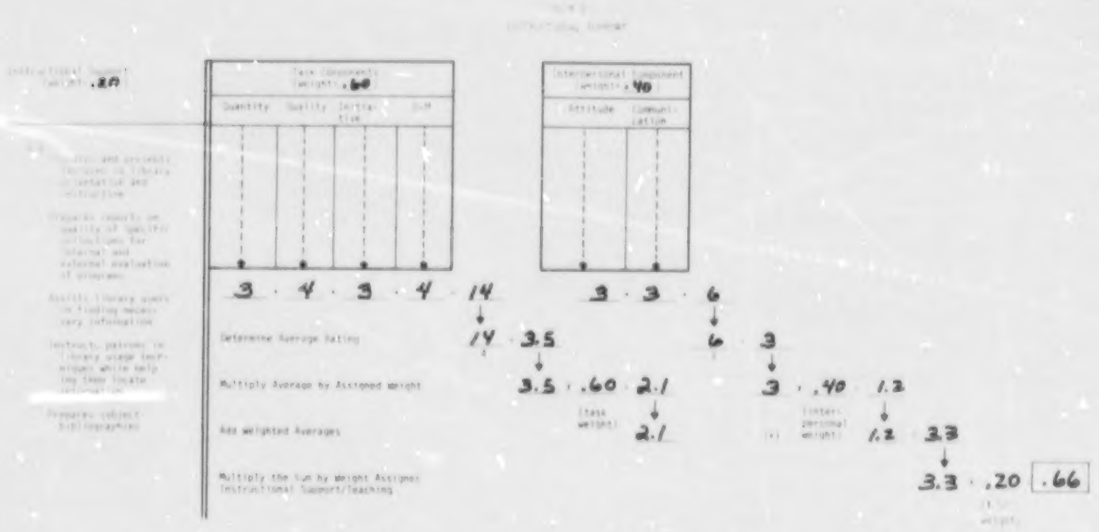
3. The faculty member and supervisor then need to decide appropriate weights for the task and interpersonal components of the faculty member's Instructional Support responsibilities.

4. During the evaluation year, either the faculty member or the supervisor may request that the goals, responsibilities, and/or weights be renegotiated. A wise supervisor will monitor the faculty member's progress toward the goals throughout the year, providing encouragement and feedback (Kroll[12]; Hilton[13]).

5. At the end of the evaluation year, the supervisor completes the various ratings that ultimately result in a single merit rating for the faculty member. The pages of the LFES were designed to support the evaluator in the arithmetic required to collapse the ratings. As Figure 2 illustrates, the faculty member is rated on a scale from one to four on each factor within the task and interpersonal components of Instructional Support. For the purpose of making these ratings, the evaluator has in the column to the left a written account of the faculty member's goals and responsibilities. These ratings are summed and divided by the number of factors resulting in an average rating for the task component and an average rating for the interpersonal component. These averages are then multiplied by the weights assigned to the respective components, resulting in a weighted average for each. The weighted averages are then summed and multiplied by the weight assigned to the major category, Instructional Support. The result of these calculations is a single number that is a function of both rated performance and the weight assigned to the major area of responsibility.

6. A similar process is completed for each of the four major categories that have been assigned some weight other than zero. A single number will result for each page.

7. On the last page of the LFES form, the evaluator merely sums the final ratings from each of the previous pages. The result of this addition is the faculty member's merit rating; it will always be a number between one and four and will always be a function of evaluated performance and the negotiated weights assigned to the various categories.


Instructional Support (weight: .20)
Task Component (weight: .60)
Quantity
Quality
Initiative
Attitude
Communication
Interpersonal Component (weight: .40)
3 · 4 · 3 · 4 · 14
3 · 3 · 6
Determine Average Rating
14 · 3.5
6 · 3
Multiply Average by Assigned Weight
3.5 · .60 · 2.1
(task weight)
3 · .40 · 1.2
(interpersonal weight)
Add Weighted Averages
2.1
1.2 · 3.3
Multiply the Sum by Weight Assigned Instructional Support/Teaching
3.3 · .20 · .66
Assists library users in finding necessary information
Prepares subject bibliographies

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SUMMARY

The Library Faculty Evaluation System was designed in response to a study of library faculty evaluation procedures and faculty attitudes toward them. The LFES is consonant at many points with current literature in library personnel evaluation. Additionally, it accommodates the University administration's requirement of a single, annual merit number. The LFES brings considerable consistency to faculty evaluation across library divisions while maintaining many opportunities to individualize the process. Perhaps most important, the LFES encourages communication between faculty and their supervisors and the establishment of shared expectations.

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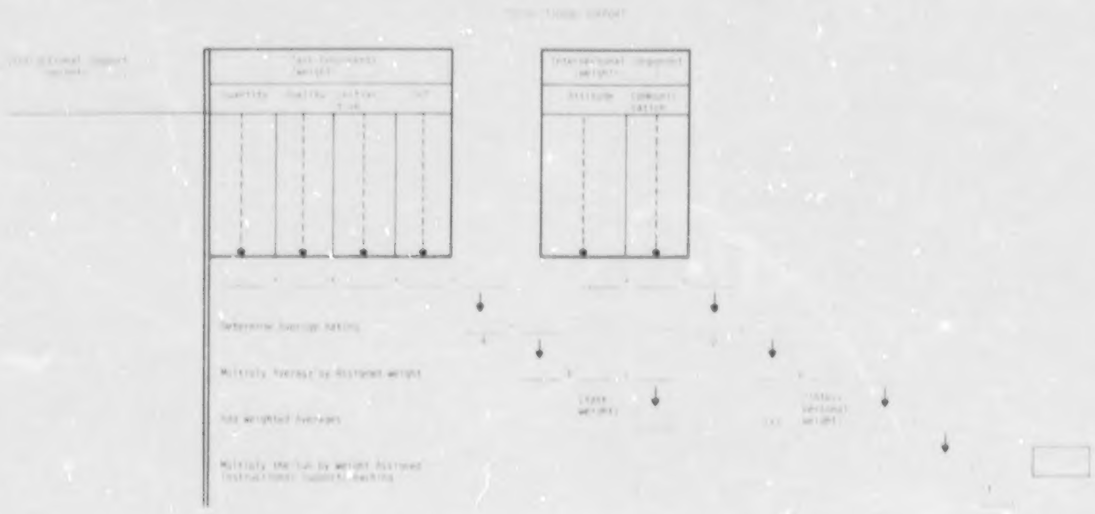
INSTRUCTIONAL SUPPORT
Instructional Support (weight)
Task Component (weight)
Quantity
Quality
Initiative
Interpersonal Component (weight)
Attitude
Communication
Determine Average Rating
Multiply Average by Assigned Weight
(task weight)
(interpersonal weight)
Add Weighted Averages
Multiply the Sum by Weight Assigned (Instructional Support) Ranking

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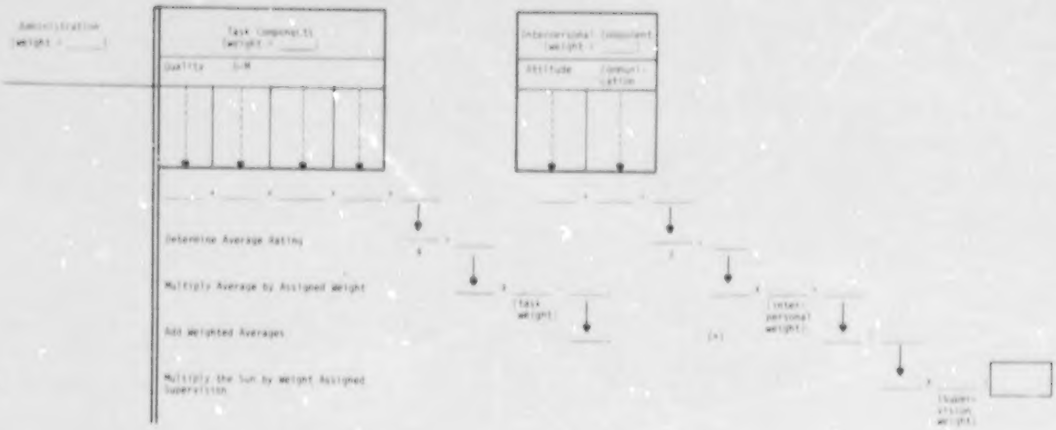
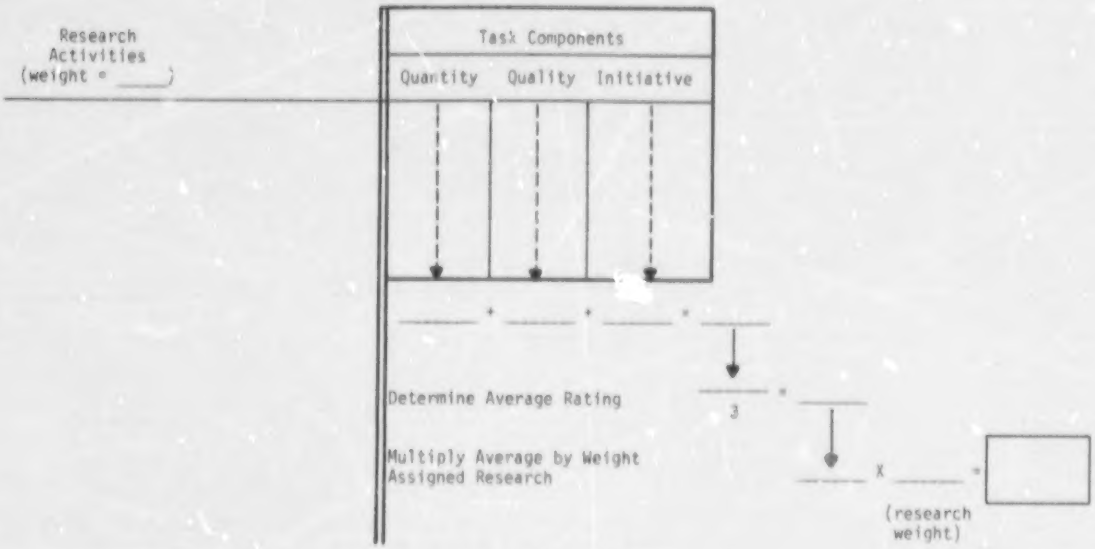
SUPERVISION


Administration
(weight = ____)
Task Component(s)
(weight = ____)
Quality
I-M
Interpersonal Component
(weight = ____)
Attitude
Communi-
cation
Determine Average Rating
4
2
Multiply Average by Assigned Weight
(task
weight)
(inter-
personal
weight)
Add Weighted Averages
(+)
Multiply the Sum by Weight Assigned Supervision
(super-
vision
weight)

RESEARCH


Research
Activities
(weight = ____)
Task Components
Quantity
Quality
Initiative
+
+
=
Determine Average Rating
3
=
Multiply Average by Weight
Assigned Research
X
=
(research
weight)

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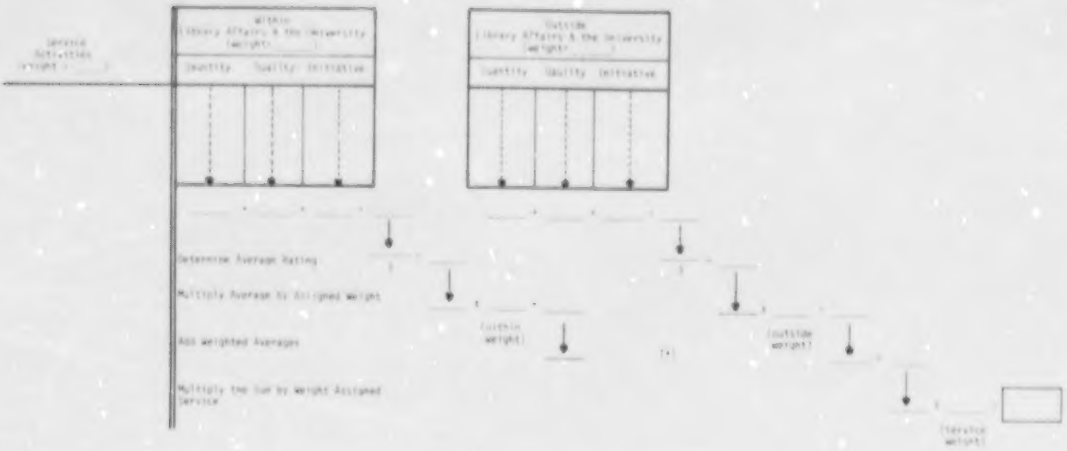
SERVICE


Service Activities (weight = ____)
Within Library Affairs & the University (weight= ____)
Quantity
Quality
Initiative
Outside Library Affairs & the University (weight= ____)
Quantity
Quality
Initiative
Determine Average Rating
Multiply Average by Assigned Weight
Add Weighted Averages
Multiply the Sum by Weight Assigned Service
(within weight)
(outside weight)
(+)
(service weight)

FINAL MERIT RATING

Weighted Rating for Instructional Support/Teaching ☐

Weighted Rating for Supervision ☐

Weighted Rating for Research ☐

Weighted Rating for Service ☐

+

FINAL MERIT RATING ☐

Additional Comments:

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Section II:

AUTOMATION/BIBLIOGRAPHIC CONTROL

PRECIS AT UTLAS

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Abstract. This paper details some aspects of the task of integrating the PRECIS indexing into the products and online facilities of a bibliographic utility - UTLAS Inc. (University of Toronto Library Automation Systems). Some elaboration is also made of the use of this facility by the first agencies to take advantage of it.

Myths and Realities A long standing myth in North American libraries is that it is not possible or practical to depart from the use of Library of Congress subject headings (LCSH) as the only method of subject analysis. The longevity of this myth is particuarly suprising in the light of the many studies which have shown the lack of syndetic structure in the LCSH list, as well as the difficulty in providing sufficiently precise access because of its general and serendipitous nature.

PRECIS has been often considered, by those who have made the effort to look into it in some depth, as a viable alternative to the LCSH list. Unfortunately there has not been a great deal of "reality testing". The present paper describes a major effort in the North American context to challenge the myth and take the plunge into the reality of PRECIS processing.

PRECIS

The acronym PRECIS stands for PREserved Context Indexing System. The system prescribes how to encode subject terms so that when they are manipulated and displayed according to the rules of the system, they will provide one or several coherent subject access points to a bibliographic citation. PRECIS was created by Derek Austin, of the United Kingdom, and has been in use for many years in the British National Bibliography.[1]

The intellectual activity of creating the PRECIS string is provided by indexers trained in the system. Complex software has been created to manipulate or shunt the PRECIS string in order to provide multiple access points in printed PRECIS catalogues.

UTLAS Inc.

UTLAS Inc. provides libraries, information centres, and related industries with a variety of computer-based products and services in English and French. The unique design of the UTLAS system enables customers to share resources through a central facility as they build their own database in accordance with international standards. From these individual databases a large number of customized products can be generated. Over 260 institutions and consortia in Canada, U.S.A., and Japan currently use the online network and more than 2,000 individual libraries receive products and services. Dedicated mainframe computers and associated communications hardware are used to provide the following online services: shared cataloguing, database searching, authorities control, acquisitions, public-service enquiry, interlibrary loan locations. A microcomputer-based system is available for fund accounting. Batch production systems are used to create such products as microfiche/microfilm catalogues, book catalogues, acquisitions lists, specialized bibliographies, labels, catalogue cards, and others.

Development Background

UTLAS began offering PRECIS processing products to its customers in 1976. During the period from 1976 until April 1983, PRECIS was not integrated into the online UTLAS facilities but existed as a stand-alone system with its own files and online editing procedures. No functional link existed between PRECIS records and the bibliographic records except that a control number resided in both. Although the control number was not functional as an online link, the printed products did use this number to match bibliographic records with their corresponding PRECIS records.

In 1979, UTLAS launched its online authority system in which UTLAS users were provided with the facility of storing authority and bibliographic data in separate files. The advantages of separate storage are: 1) authoritative forms of names, subjects, series or uniform titles are stored only once and need to be updated only once when they change and 2) incoming new bibliographic records can be validated against the authority record files in order to update them automatically to their latest form. With the introduction of this new facility, the idea arose of allowing PRECIS data to function in the new system as authority records. Following through this basic idea allowed the total integration of PRECIS processing into the online cataloguing system.

UTLAS File Structure

In order to understand the place of PRECIS in the UTLAS system it is necessary to explain first of all the unique UTLAS file structure. This structure is illustrated in a simplified graphic form in figure 1.

It is important to note that each UTLAS user builds his own file of bibliographic data. This is most commonly done by deriving copies of already existing records into his own file from the "source" files of national agencies such as LC, NLM, Canada's National Library, the Bibliothèque nationale du Québec, the Bibliothèque national de France as well as the files of other users on the system.It is also possible to simply enter original cataloguing records into one's own file, when no record is found in the system.

Authority records, like bibliographic records, reside in separate file, as shown. In this case, the user has a choice of deriving a copy of the authority record into his own private authority file and linking his bibliographic record to it. Or he can link directly to the source authority record from say LC. In the first case, he can modify the record to suit his own cataloguing requirements (it is NOT possible of course to modify the record in the LC file - only LC can do that in its update tape distribution service). If there is no need to modify the record, then he can link directly to LC; this procedure has the advantage that when LC changes an authority record, all the user's bibliographic records which are linked to that authority record will be automatically changed (e.g., Ceylon to Sri Lanka).

The Coding of PRECIS Data in the MARC Format

UTLAS, like many other users of the MARC format, must provide extensions to the MARC format when users require new functions which the format cannot provide. Such was the case with PRECIS data.

In the bibliographic format, we chose tag 690 as the PRECIS tag. The 9 indicates a local UTLAS value.

Only one tag (690) is required in the bibliographic format. This tag contains provision for coding all parts of any basic PRECIS string. The tag is repeatable. The PRECIS string consists of a sequence of individual terms, each preceded by manipulation codes which indicate the function of that term in relation to other terms in the string. A repeating subfield z was used to record the manipulation codes which are of a fixed (5-position) length and can contain either numbers or alphabetic characters. (Figure 2)

At the time of UTLAS implementation, more elaborate differencing codes were devised by BNB which allow finer manipulation of parts of the PRECIS string. These new codes were implemented with the use of 3 position subfields codes. e.g., "immigrants$j21 Mexican" where j21 is the subfield code. The use of 3 position subfield codes meant fundamental changes to online indexing and validation programs as well as to printed products; however, this change was kept to a minimum by confining their use to only subfield $j in the one bibliographic tag (690) and the corresponding tag 190 in the authority format.

The authority format required somewhat more adaptation in order to accommodate PRECIS data. Tag 190, in a separate authority record, was used to correspond to bibliographic tag 690. This means that authoritative forms of the PRECIS string would reside in tag 190. Bibliographic tag 690 would contain only the authority record control number (at UTLAS called ASN - authority sequence number) of the record with this corresponding 190 tag. Authority tag 190 has the same subfield coding conventions that were applied to bibliographic tag 690. The record as a whole was flagged as being a PRECIS authority record in fixed field 30.

In addition to providing a way of encoding the PRECIS strings within MARC, a method also had to be found to accommodate the "see" and "see also" reference structures that are associated with the PRECIS string. Any terms in the string which can move into lead position may have such associated references. Separate authority records were used for the recording of the references. Tag 192 was used for the individual terms from the string; tag 492 for the "see from" reference; tag 592 for the "see also from" reference. The tag values of 192, 492, and 592 are local and are unique to PRECIS (within the UTLAS system). Functionally, however, these tags are identical to their counterparts in the 1xx, 4xx, and 5xx range of MARC authority record tags.

A special method of linking the reference authority records to the PRECIS string authority records had to be found. This was achieved by imbedding the authority control number of the reference authority record in a 595 tag of the corresponding authority record for the PRECIS string. Because of this, the product generation programs are able to pull into any product only those references required by the PRECIS strings used in that product. Consult figures 3 and 4 for an illustration of the relationships mentioned in the last 3 paragraphs.

Online Searching of PRECIS Data

Authority records with PRECIS data are of course accessible by their control numbers (ASNs). In addition to this, the online cataloguing system (CATSS) provides browsable searching of the PRECIS strings as they appear in the authority records. All coded information (subfield codes, codes following $z and $j) is excluded when searching the string. Currently, the browsable searching of the PRECIS string does not lead directly to the bibliographic records in which they have been used. It was judged unnecessary to provide this latter function for cataloguers; it seemed to be more of an online public access catalogue function and was left for local system development (see NFB's FORMAT below). Cataloguers can, however, search online for all the bibliographic records which have used any particular PRECIS string and will be given a list of the control numbers of these bibliographic records

PRECIS Indexing Workflow

Preparatory subject analysis as well as descriptive cataloguing is normally done offline on worksheets. A printed cumulation of the user's PRECIS authority file would be checked to see if the string already exists. In addition, it is useful to check the British Library's microfiche edition of PRECIS strings and reference records. Since this is such a massive file, an already existing string may be found and can be used as is. This preparatory checking also ensures consistency and standard in string creation. If the exact string is found, it is re-used in the new record for the item being catalogued; if not, the indexer would search for analogous patterns among existing strings in order to assist in building the new string. (Figure 5)

Canada's National Film Board, with a file of 20,000 PRECIS strings is finding a 20% re-use rate of existing strings. In addition, parts of existing strings get re-used in creating new ones.

Online Authority Work

Once the new PRECIS string is created, it is entered into the online cataloguing system (CATSS) as an original authority record.

After the record is entered and before it is filed into the user's authority file, the user may give a UNIQUE command in which the system will check the string that has been entered to see if it already exists in any one of the authority files to which he has chosen to link his bibliographic records. This check is useful in catching a string that was missed when checking the printed authority file or which was entered online since the authority file was printed.

It is possible to use the online browsable searching facility to find existing PRECIS strings, instead of using the printed authority file product, but it is of course much more expensive to do so.

Monthly Shunt Editing

Once the PRECIS string has been entered online as part of a PRECIS authority record, the user can give a "SHUNT" command. This command causes the record to be captured for processing in a monthly "SHUNT" product. The purpose of this product is the editing and verification of the newly created PRECIS authority record. The record is displayed in this product in all its permutations or "shunts". Under each permutation is printed a copy of the major fields (190 and 395) so that the indexers can check that the coding that has been provided will produce the intended shunts. The PRECIS shunting module also issues error messages accompanied by a dump of the records involved in order to warn the indexer of errors made in coding. Thirty-two such error conditions are checked for; each one causes the record in question to be rejected from processing.

In addition to the PRECIS authority records which contain the PRECIS string, the "SHUNT" product will pull in for printing all the associated "see" and "see also" reference records. In this way, the indexer can check their usefulness and correctness. Once the authority record for the PRECIS string has been fully verified in the shunt products, its control number is entered in the 690 tag of the bibliographic record in which it is to be used. (Figure 4). This procedure then links the two records together and allows the PRECIS string to be displayed whenever the bibliographic record is accessed.

PRECIS Catalogue Sections

The PRECIS catalogue section has been designed to be implemented in a variety of ways. Entries in this section of a printed catalogue contain first of all the PRECIS string in all its shunted variations each shunt being followed by a selection of bibliographic tags. The user can select which of the remaining tags print in order to custom design the type of catalogue he desires. For example, the National Film Board has chosen to display (right justified) only the film title following the PRECIS string and to have a full description of the film in an accompanying title arranged section. (Figure 6 and 7)

It is also possible to display, for example, author, title and call number under the PRECIS string and to have separately arranged author, title, and call number sections. Experiments are under way to produce a type of classified catalogue arrangement that is commonly found in bibliographies and catalogues, especially those in Europe and Asia. (Figure 10)

The usual "see" and "see also" references, scope notes, history notes, etc., can be included in any or all catalogue sections (except of course, call number or control number sections).

Product Program Modularization

In creating printed PRECIS products, every effort was made to integrate PRECIS processing into the product stream and not duplicate functions already provided. With this in mind, a separate PRECIS module was created to perform the shunting, but existing programs were used to build catalogue entries and to sort and format these entries. This technique allowed the PRECIS product to become an integral a part of the standard UTLAS product offering. The integration did mean however that certain general procedures could not be modified to accommodate PRECIS. One such procedure was filing rules. Thus, PRECIS data is filed by the same rules that UTLAS applies to all its products.

Fonts

The introduction of printed PRECIS products required the ability to print in regular, bold and italic stresses. Carefully designed indentions, lead element suppression and inter-entry gaps are also important. A great deal of the clarity of the PRECIS subject approach is based on these subtle differences in presentation. These differences, which operate below the catalogue user's level of consciousness, assist him in grasping immediately the content and meaning of the string. For example, the use of bold to stress the lead term; the use of italics for anything that is parenthetical, and so on. In addition to stresses, there is also the requirement of accommodating the ALA character set which is about double the size of what appears on most computer terminals. UTLAS offers 2 type styles - UNIVERS and TIMES ROMAN and 3 sizes - 7,8, and 10 point as well as 2 orientations - portrait (like this page) or landscape (this page turned sideways). These choices with the stresses means a repertory of 24 fonts. Printing is done on a Xerox 9700 laser printer with customized fonts.

Typesetting Interface

In order to accommodate high quality printing requirements, an UTLAS option with PRECIS products as well as regular printed products is to have the catalogue product computer typeset. Machine readable data is conveyed on magnetic type to the typesetter who prepares camera-ready copy of high quality. A separate printing step follows the typesetting.

The samples accompanying this paper show examples of typeset as well as 9700 printed catalogue products.

Magnetic Tape Products

In order to feed local systems of various kinds, UTLAS offers magnetic tape products of bibliographic and authority records in standard MARC communication format. Local extensions (such as PRECIS) are documented and included in the distribution.

Before bibliographic records are distributed on tape, the authority control number linkages are replaced by the text from the 1xx tags of the records to which they refer.

Indexing Costs

A factor in considering the use of PRECIS indexing is the labour costs of creating the PRECIS strings.

If the items being catalogued have LC catalogue copy available, the library may be forced, for economic reasons, to use the already existing copy. However, if the collection is so specialized that most of the cataloguing is original, then subject headings have to be chosen and assigned in any case.

It has been a myth for some time that PRECIS indexing is extremely expensive in indexers time. However, the NFB is performing some studies now in Montreal on this topic. Initial findings indicate that an experienced PRECIS indexer can create an entirely new string, including its coding, faster than the time required to search for and assign LC headings to the item. Because of the preserved context nature of the PRECIS string, the indexer has only the item to consult; the rules for string creation are mostly in her head - except for complex cases. In assigning LC headings however, not only does the item need to be converted, but also it is necessary to search for the appropriate heading - as LC subject cataloguers know, a great deal of time can be spent finding the best fitting LC headings.With PRECIS, the indexer can control the level of specificity of the subject analysis. With LC, the cataloguer has to follow what LC has already done whether it is suitable in level of specificity or not.

A further consideration is the cost-benefit of more accurate retrievability. How important is the retrievability? If a figure can be put on time saved by catalogue users, extra expense of not using LC could be justified.

Sharing of indexing costs by building a jointly used authority file of PRECIS strings is another way of reducing costs. With NFB's use of the UTLAS facility, an effort is being made to have a single PRECIS authority file used by many film agencies. The more specialized the group is, the more likely it is that PRECIS strings created by one user will be re-used by another.

Agencies more specialized than film agencies would no doubt achieve a much higher string re-use rate than NFB's 20%.

The National Film Board of Canada's FORMAT

FORMAT, Canada's national information system for audiovisual materials, developed by the National Film Board, uses PRECIS in 2 ways. In all its UTLAS generated catalogues, it includes PRECIS indexes for subject access. Its online catalogue, fed by monthly UTLAS tapes, allows boolean and truncated searches on 13 access points such as title, series, date of production, running time, abstract, and the PRECIS string. The bibliographic database loaded into this online catalogue currently contains 15,000 records.

The PRECIS string is stored in the order in which it resides in the 690 tag of the bibliographic record. When records are retrieved and displayed, the software generates a readable PRECIS string by removing all codes and adding punctuation. Shunting is not required since any term of the string can be accessed in the search statement.

The online catalogue will offer soon a PRECIS thesaurus by loading and manipulating the reference authority records provided on UTLAS magnetic tapes.

It is planned by the Canadian Department of Communication that the automation of access to audiovisual material in Canada be expanded to other agencies besides the National Film Board. Under the standards and framework already established by NFB, the following other government agencies are now becoming involved: the Film Canadiana project sponsored by the National Library, the National Film, Television and Sound Archives, and the Canadian Film Institute and other projects involving the Canadian Film Development Corporation, the Canadian Film Makers Distribution Centre, the Cinemathèque Québecoise, the Centrale des bibliothèques (a central processing agency for Quebec public libraries and technical colleges). In addition to these public institutions, negotiations are under way to add several private sector producers and distributors of motion pictures, film strips, and other audio visual material.

In addition to the use of PRECIS by the AV community, the National Map Library of Canada has set up PRECIS accounts with UTLAS in order to provide PRECIS access to its map collections.

The Future for PRECIS

Perhaps, to speculate for a moment, the era of subject access is really just about to begin. Recent studies in online catalogue use have shown that the use of the online subject access approach is considerably greater than that in a manual card catalogue. Such findings will no doubt lead to a renewed interest in types of subject access. PRECIS has a great deal to offer in this regard. Its linguistic flexibility allows an accurate representation of the subject content in an extremely concise form. Furthermore, the PRECIS subject heading embodies meaningful syntactical relationships, unlike, for example, a string of unrelated key words. In the area of specialized collections of any kind, it would seem that if clear, concise, and accurate subject analysis is required, PRECIS is the logical choice.

Conclusion

For many staff members at UTLAS, the integration of PRECIS into the online system and products has been an extremely rewarding challenge. Now that this is done, we hope that libraries and information centres will discover many areas of application where PRECIS can provide new and formerly impossible levels of services to their patrons.

Footnotes

1. Derek Austin, PRECIS; a manual of concept analysis and subject indexing (London: Council of British National Bibliography, 1974)

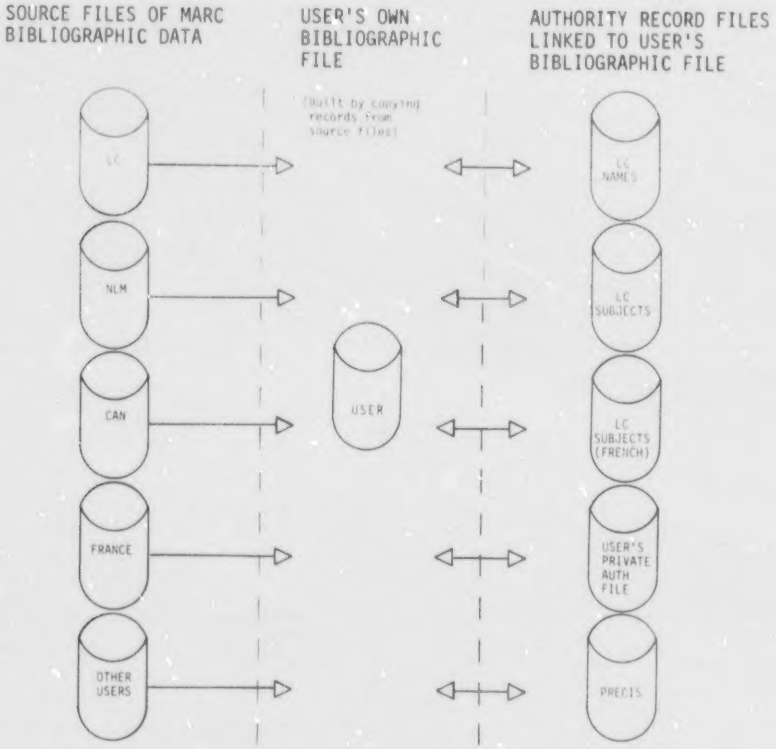

SOURCE FILES OF MARC BIBLIOGRAPHIC DATA
USER'S OWN BIBLIOGRAPHIC FILE
AUTHORITY RECORD FILES LINKED TO USER'S BIBLIOGRAPHIC FILE
(Built by copying records from source files)
LC
NLM
CAN
FRANCE
OTHER USERS
USER
LC NAMES
LC SUBJECTS
LC SUBJECTS (FRENCH)
USER'S PRIVATE AUTH FILE
PRECIS

Figure 1

CODED PRECIS STRING & PRECIS ENTRY

STRING:

190 **2001 $w$a$z00030$a Canada $z11030 $a women $j21 immigrant $z20030 $a life styles**

ENTRY

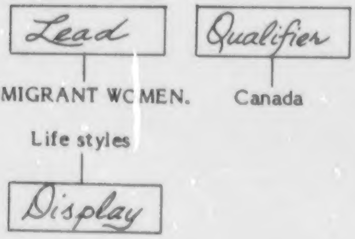

Lead
Qualifier
IMMIGRANT WOMEN.
Canada
Life styles
Display

Figure 2

REFERENCES

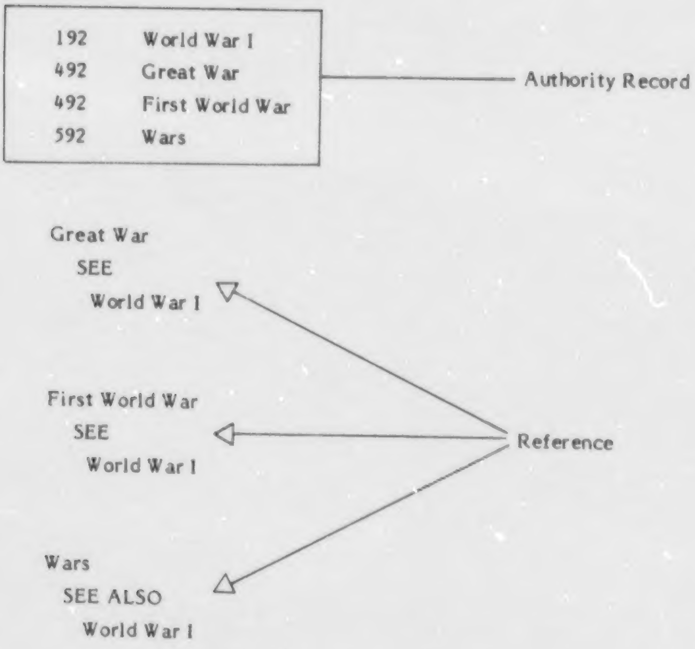

192 World War I
492 Great War
492 First World War
592 Wars
Authority Record
Great War
SEE
World War I
First World War
SEE
World War I
Reference
Wars
SEE ALSO
World War I

Figure 3

RECORD TO RECORD LINKAGES

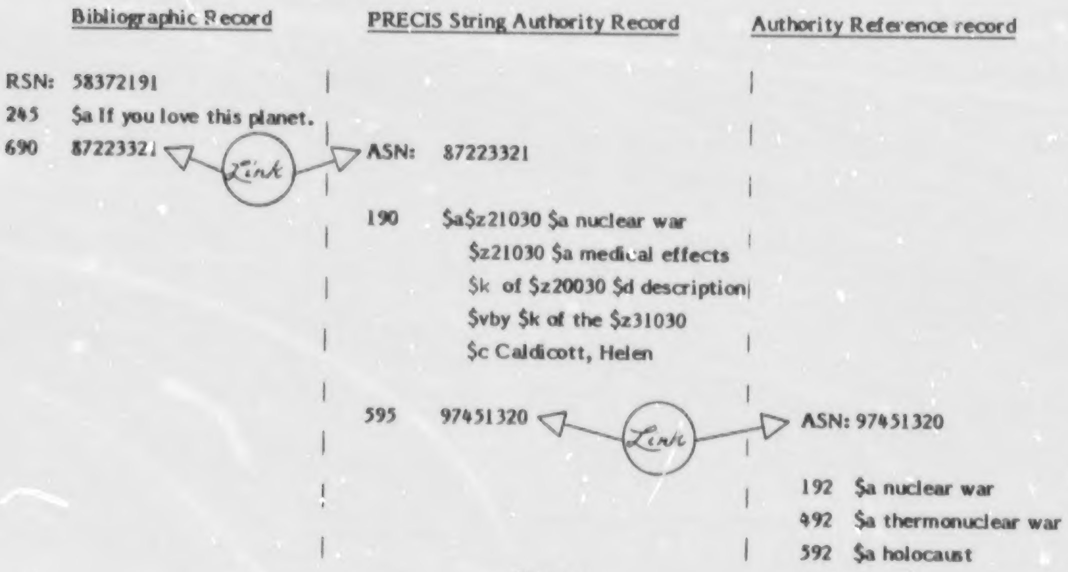

Bibliographic Record
PRECIS String Authority Record
Authority Reference record
RSN: 58372191
245 $a If you love this planet.
690 87223321
Link
ASN: 87223321
190 $a$z21030 $a nuclear war
$z21030 $a medical effects
$k of $z20030 $d description
$vby $k of the $z31030
$c Caldicott, Helen
595 97451320
Link
ASN: 97451320
192 $a nuclear war
492 $a thermonuclear war
592 $a holocaust

Figure 4

MONTHLY SHUNT PRODUCT AND CUMULATED AUTHORITY FILE PRODUCT

FEATURE FILMS
Tennis. Competitions: U.S. National Junior Tennis Championships. Participation of adolescent girls - Stories
00190 0001 $w$a$z21030$atennis$z20020$a$z31030$acompetitions $z103020$a$zq0030$cU.S. National Junior Tennis Championships $z20030$aparticipation$vof$kin$z31030$ aadolescent girls $z60030$astories$z61030$afeature films (87225064)

TENNIS
Competitions: U.S. National Junior Tennis Championships. Participation of adolescent girls - Stories - Feature Films
00190 0001 $w$a$z21030$atennis$z20020$a$z31030$acompetitions $z10320$a$zq0030$cU.S National Junior Tennis Championships $z20030$aparticipation$vof$kin$z31030$ adolescent girls $z60030$astories$z61030$afeature films (8725064)

COMPETITIONS. Tennis
U.S. National Junior Tennis Championships. Participation of adolescent girls - Stories - Feature films
00190 0001 $w$a$z21030$atennis$z20020$a$z31030$acompetitions $z10320$a$zq0030$cU.S. National Junior Tennis Championships $z20030$aparticipation$vof$kin$z31030$ adolescent girls $z60030$astories$z6130$afeature films (87225064)

ADOLESCENT GIRLS
Participation in U.S. National Junior Tennis Championships - Stories - Feature Films
00190 0001 $w$a$z21030$atennis$z20020$a$z31030$acompetitions $z10320$a$zq0030$cU.S. National Junior Tennis Championships $z20030$aparticipation$vof$kin$z31030$ aadolescent girls $z60030$astories$z61030$afeature films (87225064)

Figure 5

PRECIS CATALOGUE SECTION DATA ELEMENTS

	Element 1	Element 2	Element 3	Element 4	Element 5
SORT KEY	LEAD	QUALIFIER	DISPLAY	1xx (Author)	245 (Title)

ENTRY

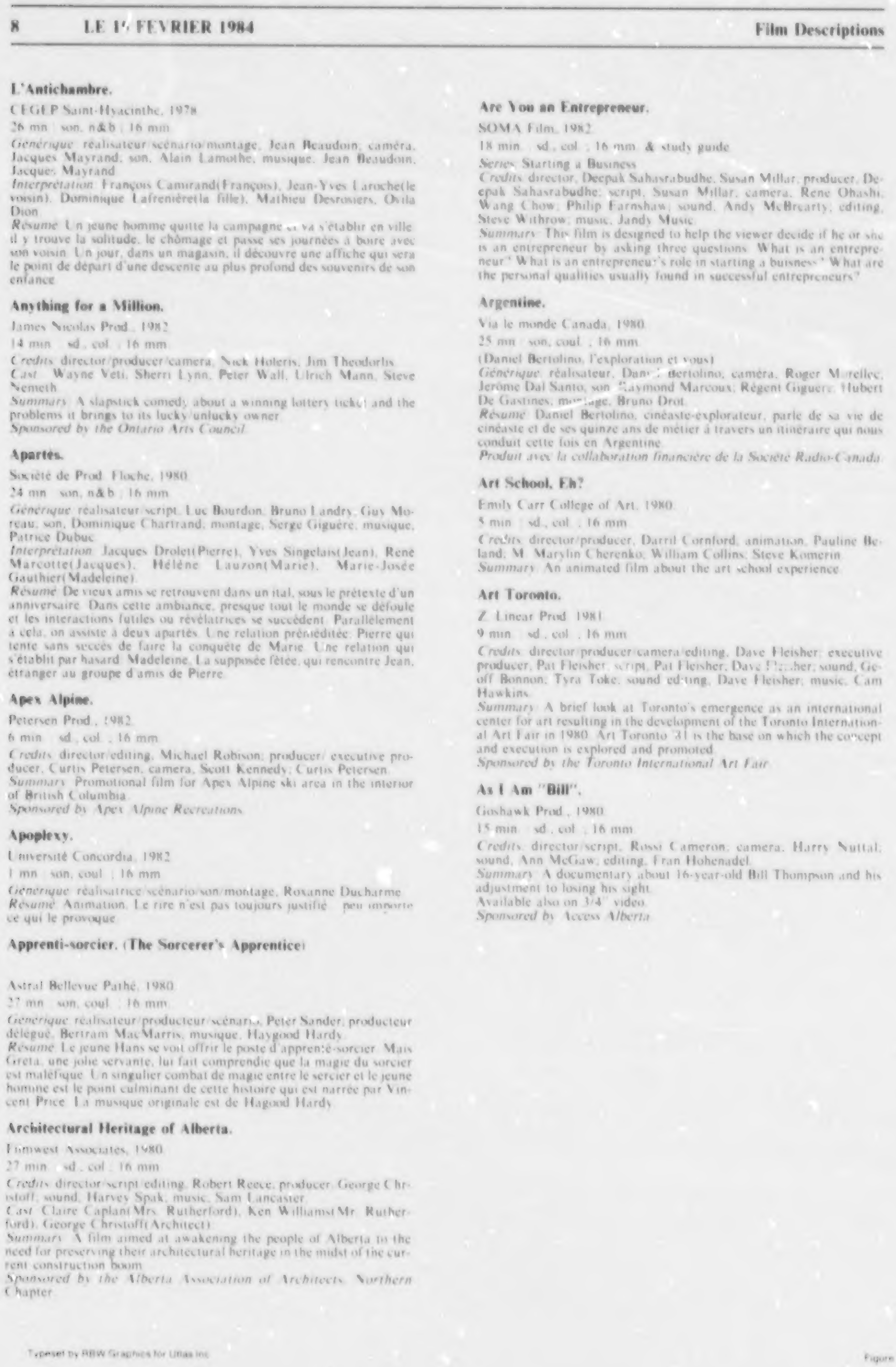
250 (Edition Statement) 254 (Musical Presentation Area) 255 (Mathematical Data Area (Maps)) 362 (Date of publication and volume designations (Serials)) 260 (Imprint) 300 (Collation) 306 (Duration for Sound Recordings) 4xx (Series statement) Frequency (Serials) P.E.1* Local note 521 (Audience level) 358 (Technical details (MRDF)) 780 (Preceding entry (Serials)) 785 (Succeeding entry (Serials)) 773 (Host Item (analytics)) 035 (Local inventory number) 098 (Acquisition data) P.E.2* 089 (Class no. for classified catalogues) TRACINGS 050 (LC call no.) 088 (CODOC gov. doc. call no.) HOLDINGS P.E.3 RSN (Record control number)

NOTE: The customer may choose any or all elements in order to create a briefer of fuller entry.

Tags print in the order given here.

*P.E.= Print equivalent from any fixed field value

Figure 6



8 **LE 1er FEVRIER 1984** **Film Descriptions**

L'Antichambre.

CEGEP Saint-Hyacinthe, 1978
26 mn : son, n&b ; 16 mm
Générique réalisateur/scénario/montage, Jean Beaudoin; caméra, Jacques Mayrand; son, Alain Lamothe; musique, Jean Beaudoin, Jacques Mayrand
Interprétation François Camirand(François), Jean-Yves Laroche(le voisin), Dominique Lafrenière(la fille), Mathieu Desrosiers, Ovila Dion
Résumé Un jeune homme quitte la campagne et va s'établir en ville il y trouve la solitude, le chômage et passe ses journées à boire avec son voisin. Un jour, dans un magasin, il découvre une affiche qui sera le point de départ d'une descente au plus profond des souvenirs de son enfance

Anything for a Million.

James Nicolas Prod., 1982
14 min : sd., col. ; 16 mm
Credits director/producer/camera, Nick Holeris, Jim Theodorlis
Cast Wayne Veti, Sherri Lynn, Peter Wall, Ulrich Mann, Steve Nemeth
Summary A slapstick comedy about a winning lottery ticket and the problems it brings to its lucky/unlucky owner
Sponsored by the Ontario Arts Council

Apartés.

Société de Prod. Floche, 1980
24 mn : son, n&b ; 16 mm
Générique réalisateur/script, Luc Bourdon, Bruno Landry, Guy Moreau; son, Dominique Chartrand; montage, Serge Giguère; musique, Patrice Dubuc
Interprétation Jacques Drolet(Pierre), Yves Singelais(Jean), René Marcotte(Jacques), Hélène Lauzon(Marie), Marie-Josée Gauthier(Madeleine)
Résumé De vieux amis se retrouvent dans un ital, sous le prétexte d'un anniversaire. Dans cette ambiance, presque tout le monde se défoule et les interactions futiles ou révélatrices se succèdent. Parallèlement à cela, on assiste à deux apartés. Une relation préméditée: Pierre qui tente sans succès de faire la conquête de Marie. Une relation qui s'établit par hasard: Madeleine, La supposée fêtée, qui rencontre Jean, étranger au groupe d'amis de Pierre

Apex Alpine.

Petersen Prod., 1982
6 min : sd., col. ; 16 mm
Credits director/editing, Michael Robison; producer/ executive producer, Curtis Petersen; camera, Scott Kennedy; Curtis Petersen
Summary Promotional film for Apex Alpine ski area in the interior of British Columbia
Sponsored by Apex Alpine Recreations

Apoplexy.

Université Concordia, 1982
1 mn : son, coul. ; 16 mm
Générique réalisatrice/scénario/son/montage, Roxanne Ducharme
Résumé Animation. Le rire n'est pas toujours justifié : peu importe ce qui le provoque

Apprenti-sorcier. (The Sorcerer's Apprentice)

Astral Bellevue Pathé, 1980
27 mn : son, coul. ; 16 mm
Générique réalisateur/producteur/scénario, Peter Sander; producteur délégué, Bertram MacMarris; musique, Haygood Hardy
Résumé Le jeune Hans se voit offrir le poste d'apprenti-sorcier. Mais Greta, une jolie servante, lui fait comprendre que la magie du sorcier est maléfique. Un singulier combat de magie entre le sorcier et le jeune homme est le point culminant de cette histoire qui est narrée par Vincent Price. La musique originale est de Hagood Hardy

Architectural Heritage of Alberta.

Filmwest Associates, 1980
27 min : sd., col. ; 16 mm
Credits director/script/editing, Robert Reece; producer, George Christoff; sound, Harvey Spak; music, Sam Lancaster
Cast Claire Caplan(Mrs. Rutherford), Ken Williams(Mr. Rutherford), George Christoff(Architect)
Summary A film aimed at awakening the people of Alberta to the need for preserving their architectural heritage in the midst of the current construction boom
Sponsored by the Alberta Association of Architects, Northern Chapter

Are You an Entrepreneur.

SOMA Film, 1982
18 min : sd., col. ; 16 mm. & study guide
Series Starting a Business
Credits director, Deepak Sahasrabudhe, Susan Millar; producer, Deepak Sahasrabudhe; script, Susan Millar; camera, Rene Ohashi, Wang Chow; Philip Earnshaw; sound, Andy McBrearty; editing, Steve Withrow; music, Jandy Music
Summary This film is designed to help the viewer decide if he or she is an entrepreneur by asking three questions: What is an entrepreneur? What is an entrepreneur's role in starting a buisness? What are the personal qualities usually found in successful entrepreneurs?

Argentine.

Via le monde Canada, 1980
25 mn : son, coul. ; 16 mm
(Daniel Bertolino, l'exploration et vous)
Générique réalisateur, Daniel Bertolino; caméra, Roger Morellec, Jerôme Dal Santo; son, Raymond Marcoux; Régent Giguere; Hubert De Gastines; montage, Bruno Drot
Résumé Daniel Bertolino, cinéaste-explorateur, parle de sa vie de cinéaste et de ses quinze ans de métier à travers un itinéraire qui nous conduit cette fois en Argentine
Produit avec la collaboration financière de la Société Radio-Canada

Art School, Eh?

Emily Carr College of Art, 1980
5 min : sd., col. ; 16 mm
Credits director/producer, Darril Cornford; animation, Pauline Beland; M. Marylin Cherenko; William Collins; Steve Komerin
Summary An animated film about the art school experience

Art Toronto.

Z. Linear Prod. 1981
9 min : sd., col. ; 16 mm
Credits director/producer/camera/editing, Dave Fleisher; executive producer, Pat Fleisher; script, Pat Fleisher, Dave Fleisher; sound, Geoff Bonnon; Tyra Toke; sound editing, Dave Fleisher; music, Cam Hawkins
Summary A brief look at Toronto's emergence as an international center for art resulting in the development of the Toronto International Art Fair in 1980. Art Toronto '81 is the base on which the concept and execution is explored and promoted
Sponsored by the Toronto International Art Fair

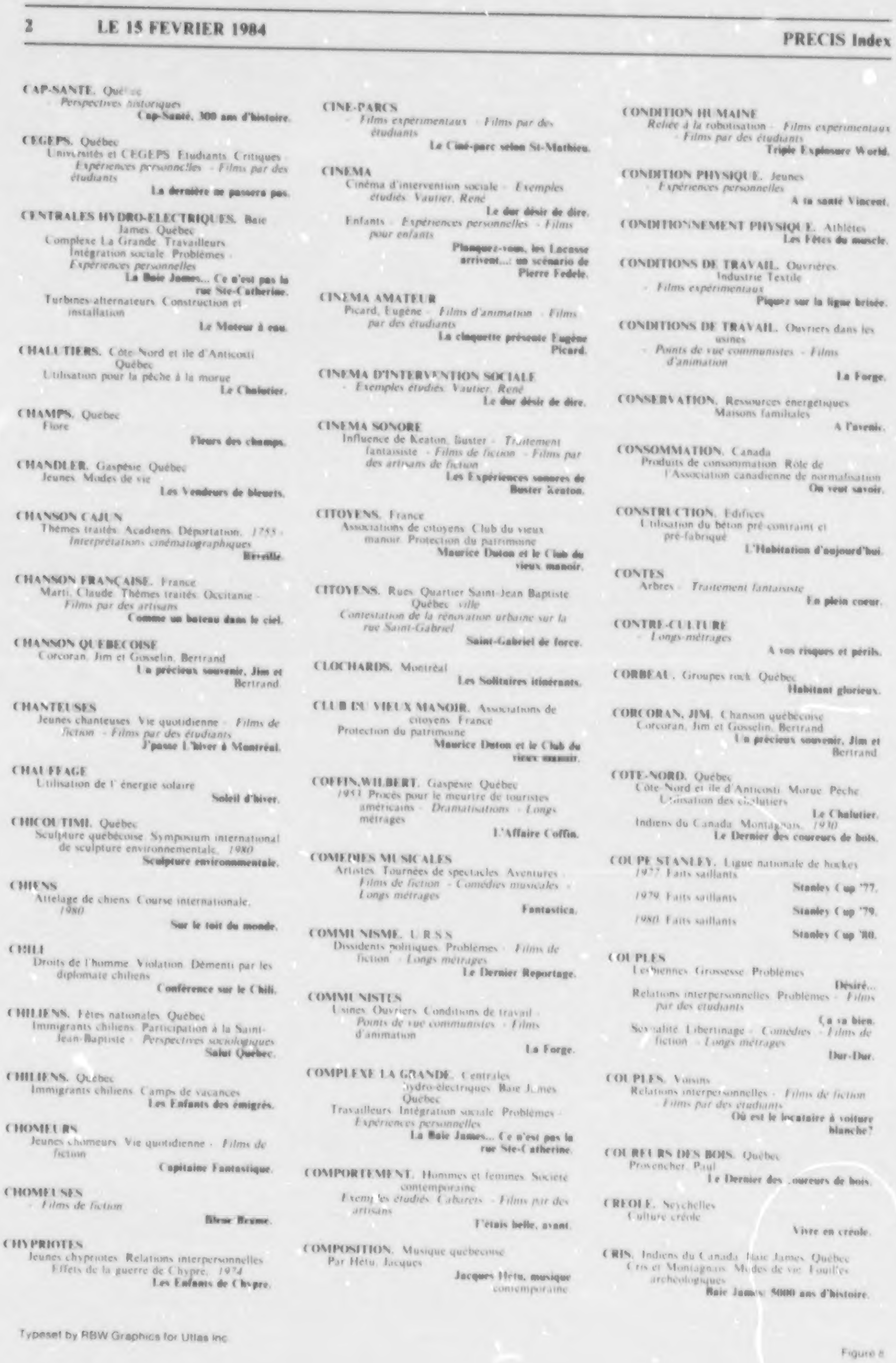
As I Am "Bill".

Goshawk Prod., 1980
15 min : sd., col. ; 16 mm
Credits director/script, Rossi Cameron; camera, Harry Nuttal; sound, Ann McGaw; editing, Fran Hohenadel
Summary A documentary about 16-year-old Bill Thompson and his adjustment to losing his sight
Available also on 3/4" video
Sponsored by Access Alberta

Typeset by RBW Graphics for Utlas Inc.

Figure 7

BEST COPY AVAILABLE



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Baie James: 5000 ans d'histoire.

Typeset by RBW Graphics for Utlas Inc

Figure 8

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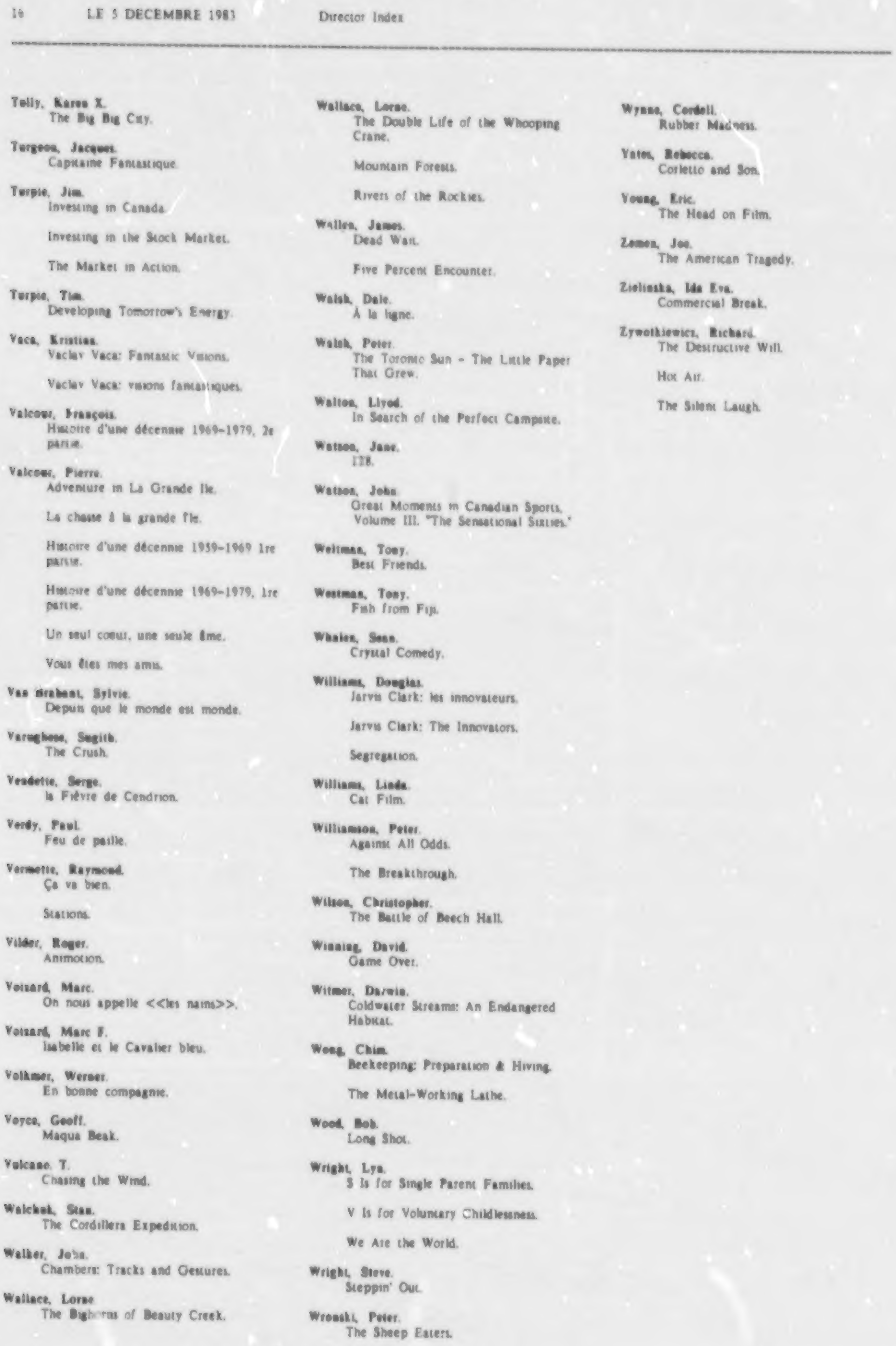
XEROX 9700 PRINTING



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Wynne, Cordell.
Rubber Madness.

Yates, Rebecca.
Corletto and Son.

Young, Eric.
The Head on Film.

Zemon, Joe.
The American Tragedy.

Zielinska, Ida Eva.
Commercial Break.

Zywotkiewicz, Richard.
The Destructive Will.

Hot Air.

The Silent Laugh.

Figure 9

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SAMPLE ENTRIES FROM THE BUFC CATALOGUE (BRITISH UNIVERSITIES FILM COUNCIL)

Full Entry

551.1/.4 — PHYSICAL GEOLOGY

551.21 — Hawaii. Volcanoes. Eruptions

VOLCANO: THE BIRTH OF A MOUNTAIN / U.S.A.
dist: Scottish Central Film Library. Hire or Fergus Davidson Associates, Sale. 1979. p.c.: Encyclopaedia Britannica Educational Corporation in co-operation with the American Geological Institute. sc.advr: David W. Peterson
Film. 16mm. sd. col. 24 min
Film footage produced over five years documents an extended Hawaiian volcanic eruption from which, in the early 1970's, a new mountain emerged. Aerial and ground-level photography combine to reveal how lava flow covered forests, generated tornadoes and reshaped long segments of the coastline during the mountain's creation. — USES: Courses in igneous geology

(Note the use of UDC classification plus PRECIS as access point.)

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VIOLENCE IN HOSPITAL. *dist: University of Sheffield, Audio-Visual and Television Centre* 362.11
VOLCANO: THE BIRTH OF A MOUNTAIN. *dist: Scottish Central Film Library, Hire or Fergus Davidson Associates, Sale* 551.21
THE WAR GAME. *dist: British Film Institute Film & Video Library or Concord Films Council* 355.018
WARREN FARM: A STAKE IN THE FUTURE. *dist: Central Film Library* 636.082.4
WATER INSECTS. *dist: Educational Foundation for Visual Aids, Hire or Boulton-Hawker Films, Sale* 595.7(204)
WAVES. *dist: Open University Film Library* 532.59
WE ARE YOUR NEIGHBOURS. *dist: Concord Films Council* 362.3
WESTERN U.S.A. FROM SPACE. *dist: Focal Point Audio Visual* 917.3(1-15)(084.1)
WHALES, DOLPHINS AND MEN. *dist: British Broadcasting Corporation Television Enterprises Film Hire* 599.5
WHAT ABOUT THE OTHERS? (2 PARTS). *dist: Concord Films Council, Hire or Sale or Film Library for Teacher Education, Special loan only* 172.22
WHEN DO DOCTORS AGREE? *dist: Boehringer Ingelheim* 616-073.178
WHEN JOURNALISTS BREAK THE LAW. See Bounds of freedom, no.2
WHITHER GRAVITY? *dist: Audio Learning* 521.1

Figure 10

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USE OF THE FULL MARC RECORD: MYTH AND REALITY

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University of California
Riverside, CA

Abstract. Recent developments have led to a perception that some libraries are considering the full MARC record to be costly, inconvenient and perhaps unnecessary. Surveys were sent to the heads of cataloging of ARL libraries, the major bibliographic utilities, and the institutions which participated in the Online Public Access Catalog Use Studies sponsored by the Council on Libraries Resources. The surveys were to ascertain current policies and practices concerning the use of brief and full records, as well as to gather opinions about the brief records catalogers encounter in bibliographic utilities. The survey results are considered in light of related findings from online catalog use studies.

Keywords and Phrases. MARC record. Minimal level cataloging. Online Public Access Catalog Use Studies. Online catalog use. Base level cataloging.

INTRODUCTION

The need to study the myth and reality of the full MARC record arose from a growing perception that it was under fire and being considered inconvenient, expensive, and possibly unnecessary by a number of large research libraries. In the past few years, several library groups have been advocating the use of brief records. The National Level Bibliographic Record (NLBR) developed by LC in 1978 was one of the earliest brief record standards.[1] In 1981, the ARL Task Force on Bibliographic Control commissioned a paper exploring the perceived high costs of cataloging and adherence to MARC formats in ARL libraries. Each year in ALA discussion groups, participants bemoan large backlogs and shrinking funds for professional staff and discuss projects involving less-than-full records. OCLC has always had some slightly-less-than-full level of cataloging and RLIN has recently approved a still less-detailed base level standard for books. The Research Library Advisory Committee to OCLC has established a task force on standards for less-than-full cataloging, and OCLC recently distributed a survey to sample library interest in a new, less-detailed level of cataloging record. The Library of Congress has been creating minimal level records for several years now and libraries will soon see these records as part of the MARC tapes.

At the same time, the development of the MARC formats has been a slow, thoughtful process. Each of the bibliographic utilities has a preferred standard that attempts full implementation of the MARC formats. AACR2 was developed in light of the formats and, though not tied to machine-readable tags, clearly complements the MARC structure. When OCLC surveyed its members in 1979 about the creation of brief records for retrospective conversion, they found 74.5% of the responding libraries opposed a lower standard as represented by a brief record.

HISTORY OF THE MARC FORMAT

An early part of our attempt to study the myth and reality of the full MARC record had to include a definition of terms and an understanding of the history of the problem. It soon became apparent that in casual library jargon the "MARC record" has become a loosely-used, generic term for all machine-readable cataloging, just as Scotch tape stands for all cellophane tape. In fact, there are several levels of structure to consider here. At the most skeletal level is the American National Standard for Bibliographic Information Interchange on Magnetic Tape--ANSI Z39.2-1971 (rev. 1979).[3] This is a data structure which simply outlines the possibilities of how bibliographic information can be uniformly coded for machine-readable transmission. It does not say how much should be transmitted, but it does give a basic outline of how to code it.

MARC Formats for Bibliographic Data are publications that go a step beyond the basic ANSI outline. They specify the codes and conventions to be used to define the data elements in a record, and simply reflect the recommended practices of their developers, such as LC and the National Library of Canada.[4] For instance, according to the ANSI standard, the tag of a variable field may consist of numeric or alphabetic characters, but the USMARC formats have used only numeric tags. This step of implementing the ANSI standards is fairly uncontroversial, with formats for most kinds of materials and authority records in place. Though they are under some ongoing revision, the formats are basically straight-forward implementations of the ANSI standard, and as such are considered fairly innocuous.

The prefatory material to the MARC formats states that "the content of those data elements which comprise a traditional catalog record is defined by standards outside the formats -- such as the Anglo-American Cataloging Rules or the National Library of Medicine Classification." The MARC format, neatly polished though it may be, is of little use until it is put into application by filling in the fields, using the standard cataloging rules. In the sense that the MARC format is to allow for all possible bibliographic detail, there is little argument against providing for at least the possibility of a standardized full bibliographic description. Though AACR2 does explain the content of various areas of the bibliographic record, most of AACR2 is just a structure outlining how to describe the bibliographic entity; in the whole text only three pages tell what areas "ought" to be included.[5]

The Library of Congress has chosen AACR2's middle level of detail, level 2, for most of its cataloging. It is not the most inclusive level, but includes the elements LC has traditionally transcribed. Though some libraries still receive LC cards, or purchase LC tapes, most libraries encounter LC records through their bibliographic utilities. The utilities have also selected an equivalent of level 2 of AACR2 as their full-level record. In fact, it seems likely that most people who are arguing for a briefer MARC record are really interested in a briefer OCLC record, or a base-level RLIN record, or some other machine-readable skeletal presentation of bibliographic data. As of Day One for AACR2 (January 1, 1981), most research libraries had agreed to try to use AACR2 level 2, despite some reservations. Almost all faced an immediate drop in cataloging production, which lasted a year or more. Today, the formats and rules have become so closely integrated in the minds of many catalogers that bibliographic elements may be discussed using their "area" name from AACR2, or their tag number from a utility format.

SURVEY

In light of the many forces apparently clamouring for a way to discard the full MARC record and use a shorter bibliographic record, we prepared two survey questionnaires to see how brief records are being viewed and used. The first questionnaire was sent to the ten institutions and bibliographic utilities which participated in the Online Public Access Catalog Research Project sponsored by the Council on Library Resources. We excluded the University of California MELVYL System from this questionnaire as we were already familiar with it, but added the Washington Library Network (WLN) because of its function as a major bibliographic utility. In this questionnaire we asked about the capability for the use of brief records in the system and for statistics regarding proportions of brief records in the databases.

The second questionnaire was sent to the heads of cataloging of the 115 ARL libraries. We asked them about the kinds of brief-record projects they had done, as well as how they felt about brief records encountered in a bibliographic utility.

Our questionnaires were designed both to ascertain the climate of opinion and to identify actual use of full and brief records. We recognized from the onset that the definition of brief records has several meanings and can include acquisitions, circulation, in- process, and cataloging records. The names used for the less-than-full records include "base records," "K-level records," "minimal records," and "r-level records," and specifications for these records vary among institutions and bibliographic utilities. We left the terminology undefined in the questionnaire, in order to allow reporting of the widest range of brief record projects.

QUESTIONNAIRE FOR BIBLIOGRAPHIC UTILITIES AND ONLINE SYSTEMS

1. Is the standard record input into your system a full MARC record? If not, please explain.

2. Is a less-than-full record allowed? If so, under what circumstances are less-than-full records permitted, what fields are required, etc.?

3. What was the rationale for allowing a less-than-full record in the system? Was it demanded by librarians or an integral part of the initial system design?

4. What percentage of your database consists of less than full MARC records? Approximately how many records is this?

   a. If possible, please provide a breakdown of that percentage by media format (books, serials, av., etc.).

   b. If possible, please provide figures on the rate at which these materials are being entered into your database (e.g., is the percentage increasing or decreasing).

5. Are records in your system routinely displayed for users in a format that shows everything that was input, or is a shorter display routinely used? Please explain if you have different display formats.

RESULTS OF SURVEY OF UTILITIES AND ONLINE SYSTEMS

Seven of the institutions (70%) responded to the survey of utilities and online systems. The three bibliographic utilities responded in great detail. OCLC, in particular, was able to provide considerable statistical information on the number of brief records in its database, subdivided by format.

All three bibliographic utilities make provisions for their member libraries to input brief records. To our question on the rationale for allowing brief records, both RLIN and WLN gave retrospective conversion as a factor. RLIN's response also indicated that "some categories of materials are judged not to be worth the very expensive time which full original cataloging requires, and at the same time are judged to need some degree of bibliographic control for access." OCLC's response made mention of "the high cost of full cataloging" when referring to its K-level records. In addition, OCLC member libraries may also create K-level records for materials for which they do not have the local expertise to provide full-level cataloging. The statistics supplied by OCLC showed that the number of K-level records had grown by 53% as compared to an overall database growth rate of 24% in a period of twenty months between 1981 and 1983.

Of four libraries participating in the CLR sponsored study of online public access catalogs, two have systems which evolved from "short record" systems, but are now using full records. Two other libraries use full records as the standard, though one allows brief records for certain categories of materials. The University of California System is unique among the participants in the CLR project in that it is a union catalog, consisting of the cataloging records of nine campus libraries using two different bibliographic utilities. It is like most in-house catalogs though, in that a standard has been approved for very minimal records.

QUESTIONNAIRE FOR HEADS OF CATALOGING AT ARL LIBRARIES

1. Projects involving less-than-full records.
    a. Projects done manually or only on an in-house computer system. Please list the type of materials cataloged, approximate dates of projects begun, the kind of file created (cards, computer), level of cataloging (elements included), and your rationale for this level of cataloging.
    b. Projects done using a bibliographic utility or a system-wide computer network. Please include the same elements as listed above, plus the network or computer system used.
2. Do you plan to upgrade these to full records at some time?
3. If you have not been involved in such projects, what reasons might cause you to start a project using less-than-full cataloging records?
4. Do you often encounter less-than-full records input by other libraries in a national database? If so, do your catalogers routinely make them more complete? Do you consider this much of a problem?

RESULTS OF SURVEY OF HEADS OF CATALOGING

We received 74 responses to the questionnaire sent to heads of cataloging (64% response). Fifty of the reporting 74 libraries, or three-fourths, were involved in brief record projects, and fourteen of these reported doing both in-house and bibliographic utility projects. The questionnaire responses are summarized below.

1. Projects done manually or only on an in-house computer system. Of the 74 responding libraries, 38 (51%) reported some sort of manual or in-house system using brief records. The question was interpreted in several different ways, so the projects reported covered a wide range. Many libraries use some system of brief records to control in-process items, ranging from a single copy of the order slip in the public catalog to on-line brief records in a circulation system or in-house catalog. Usually these are temporary records and updating is automatic as records are cataloged. A couple of libraries reported manual or in-house computer projects that gave increased access, such as fully analyzing each band of a sound recording, though the conventional physical description and subject access might be limited. Brief records were often used to control local theses and dissertations, juvenile literature collections, monographic microform analytics, and local or non-music audiovisual materials. A few libraries have used brief in-house computer or manual records to handle backlogs of regular monographic cataloging. Quite consistently, the main factor that made the records "brief" was the lack of subject headings, notes, and classification. A common justification was that it was too costly or too difficult to bring the cataloging up to online utility standards. Occasionally the in-house process was justified because libraries could manipulate the data and create paper or online products to serve as indexes, which they could not do as easily through a utility.

2. Projects done using a bibliographic utility or system-wide computer network. Twenty six (35%) of our 74 respondents are doing (or have done) less-than-full level projects on a bibliographic utility. The major element omitted is again reported to be subject headings, though descriptive cataloging may also be brief. The predominant type of material done at this level is local theses and disseratations (11 reporting institutions). Three institutions catalog

art exhibition catalogs with fewer than usual access points, and two use brief records for original film and play scripts. Several libraries had been involved in brief serials union list loads or on-going brief serials cataloging. Libraries giving reasons for using brief records on utilities often mentioned that the materials simply didn't warrant full cataloging. In several other cases though, the problem was lack of staff or expertise, such as for Chinese analytics, German microforms, and Greek and Russian backlogs.

3. Plans for future updates of records. Nineteen libraries (38% of those with projects) indicated that their brief records might eventually be updated in some way. Generally the updates were to be on in-house system records, and would be done through retrospective conversion projects or automatic replacement by LC records. Four mentioned that actual update projects were planned, and four others do occasional updates if an item with a minimal level record circulates or is requested through ILL. Almost none planned to update minimal level records which had been entered into a bibliographic utility, except for CONSER serial records.

4. Reasons that might cause a library to start future brief-record projects. Half of the libraries returning questionnaires did not answer the qustion about reasons for possible future minimal-level cataloging projects. Four libraries stated that they definitely would not consider such projects.

The other respondents could conceive of starting brief cataloging projects, basically for the same kinds of materials that libraries are already cataloging at a minimal level: local theses, exhibition catalogs, ephemeral items, and microform analytics. There was more frequent mention here of the possible necessity for brief cataloging of large monographic backlogs, due to lack of staffing, inability to fill positions, and lack of language expertise, combined with a need to gain control of large unmanaged backlogs. However no more than five respondents were actually considering the start of new minimal level projects, and responses were often tempered with phrases such as "if in dire financial difficulties," "if forced," "if retrenchment became severe," or "would be reluctant."

Of the 50 libraries with ongoing base-level projects, 13 (26%) could conceive of reasons for possible future additional projects, and 4 of these projects were under discussion. In a few cases, brief-record projects had been of limited extent and had been stopped. Of the 24 libraries that did not have existing projects, 17 (74%) stated conditions under which they might consider brief records projects, though only two such projects were currently under discussion.

5. Encountering brief records input by other libraries. All 74 respondents had something to say about the less-than-full records they encounter from other libraries. (A few use only in-house systems, so do not face the problem.) Two thirds of the respondents seldomly encountered brief records, routinely updated them, and did not consider them much of a problem. The other third considered them to be a moderate to major problem. The main reason expressed as to why it was considered a big problem was that records had to be bounced to a higher level of staff for completion. From OCLC users, there were comments on the fact that the lack of capability to permanently enhance the upgraded record led to considerable frustration. Users of some other bibliographic utilities can choose to input a more complete duplicate record if a minimal record is awkward to correct.

Several librarians predicted that less-than-full records would become an increasing problem as LC's brief records are input and more libraries consider doing brief cataloging. One librarian expressed concern that an expansion in the number of brief records might eventually force the library into accepting without upgrading, "with the resultant searching problems that a lack of subject descriptors and subtitles will create" in the library's online catalog. The responses to the questions made it clear that one major problem in brief cataloging is that, so far, no two libraries are likely to select the same item for brief cataloging. Even a local thesis, though cataloged with a brief record at the home institution, will generally be fully cataloged at a different institution which has acquired it for its subject matter.

BEYOND CATALOGING

The frequency with which we found "brief cataloging" to mean omitting subject headings becomes a very significant consideration in reviewing online catalog use studies. It is expected that by the end of the decade the majority of American libraries will be involved in, or significantly affected by online public access catalogs. Use studies sponsored by the Council on Library Resources in the last three years have already shown that online catalogs differ from manual catalogs in patterns of use and user expectations.

Two of these newly recognized use patterns have particular relevancy to our topic. The first is the finding that users do not generally consult full bibliographic record displays. It is recognized that the number of records retrieved, the response time, design of the display screen, sequence, and format may all affect users' selection of displays, and that the various bibliographic elements of a full record are necessary for index building and record management. It is not clear, however, which bibliographic elements included in a full record are not being used or needed by patrons. Research has not yet indicated what parts of the full bibliographic display are essential for user satisfaction, but it seems clear that the user will generally not ask for a full record once a specific title has been retrieved.

The second finding is that, in all types of libaries, online catalog users conducted more subject searches than most librarians had generally expected. This finding also represents a significant difference from findings of card catalog use patterns, in which known item searches have predominated.

The use studies further show that the subject access desired by users may need to go beyond the present practice. In her report to CLR, Karen Markey indicated that some users wanted an increased amount of subject information present in bibliographic records, and they often mentioned indexes and tables of contents as sources of subject information.[6]

Along the same lines, Charles Hildreth has warned against the danger of using rules and standards expressed in cataloging practices to shape and justify our notion of online public access catalogs. In his speech given at the June 1983 ALA preconference on online catalogs, he argued that the source for the formulation, justification and articulation of the goals and objectives of online public access catalogs must be external to the catalog itself and "the keepers of our cataloging traditions." By default, catalogers and current cataloging practices have largely been defining the future catalog.

In contrast, Patrick Wilson argues against the idea of deeper subject access in the catalog, suggesting that that catalog should not be expected to take on all bibliographic control functions. He says that the catalog's subject approach superficiality "should cause no embarrassment; it is not meant to be, and should not try to be, the complete and definitive guide to the bibliographical universe, but an essential local supplement to the complex apparatus of means of discovery." He considers the online catalog merely an "excitingly flexible and comfortable" replacement for the card catalog.[7]

CONCLUSION

Our research shows two clearly conflicting realities involved in considering the reality of the full MARC record. One reality is the need to achieve access to currently uncataloged materials with less cataloging staff. The other reality is the desire for a functional on-line catalog. Both forces put considerable pressure on the reality and future of the full MARC record. Several groups discussed earlier support the concept of minimal-level cataloging for basic control of unaccessible materials. The reality they see most clearly is that base-level cataloging would at least help the library user achieve success on known-item searches, and might make possible some resource sharing, acquisitions decision-making, and interlibrary lending. In a library's in-house system, with someone available to explain the catalog, selected categories of materials might be given brief records and users could be taught to tailor searches appropriately for those categories. Obviously, this approach would make considerable impact on reference librarians, and even they are not unfailingly successful in their searches at present. Some proponents of brief records claim that Boolean searching in online catalogs will adequately overcome lack of subject access. Those who accept this set of assumptions find the MARC record unrealistically long and complicated.

The Online Catalog Use Studies support a conflicting reality. They show an increased use of subject searches, and even a user desire for more extensive subject analysis. These findings would indicate that the MARC record is not inclusive enough.

Our study results show the bibliographic utilities taking a rather neutral role in the conflict of realities. Their databases are routinely based on the full MARC record standard, but they also provide brief record standards to meet the needs of member libraries.

The librarians we surveyed also recognize conflicting realities. Only nine percent of the responding libraries reported no current brief projects and no conceivable reason they would ever start one. The other 91% either have ongoing projects or can recognize circumstances which might cause them to begin one. The conflicting pressure is shown in the fact that every responding library which encounters a brief record on a bibliographic utility upgrades the record to the library's full cataloging standard. The upgrading indicates a strong acceptance of the need for the full MARC record and subject access; perhaps it also shows some inertia in starting to consider the real needs of the future online catalog user. Several librarians gave a reminder that even the most sophisticated Boolean searching would not provide access to headings and subjects which are not part of the online record.

The combination of brief record projects plus consistent upgrading of brief records encountered from other libraries points out the lack of agreement on whether any kind of material uniformly requires only brief records. Perhaps cooperation on cataloging must go a step beyond the current level. The full bibliographic record may still be a reality for most materials, but myth may intrude with the idea that a single institution must create the full record. If a library can enter a brief record for its own purposes and the next library to use it can permanently upgrade it, the full MARC record could continue to be a reality, while accommodating budgeting and backlog realities.

Our survey and the other studies discussed show that the full MARC record is still both desirable and a reality as the best bibliographic description for an item, but the steps necessary toward achieving that record in a database are worthy of further study. Beyond that, a continued awareness of user studies should lead toward determining whether the full MARC record may yet become a myth, with an even fuller record eventually becoming reality in the online catalog.

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"ADDRDSSES, ELCTURES, ESSSAYS" AND OTHER VARIANT SUBJECT HEADINGS

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Abstract. This study identifies errors in subject headings found in topical and geographic subject heading fields of OCLC records. The computer programs that were used to examine the headings were designed only to verify that the headings entered into the database matched authorized forms. No attempt was made to determine if assigned headings were used properly. It was found that most of the errors fell into five broad classes: (1) inconsistencies in capitalization, punctuation, and spacing; (2) typographical errors; (3) incorrect MARC tag or subfield code; (4) invalid subdivision form; and (5) invalid and unauthorized headings.

When all error types were considered, it was found that about 22% of the subfields were variant forms. These findings indicate that errors of the types corrected for are pervasive in topical and geographic subject heading fields of OCLC records and that better authority management is necessary.

Keywords and Phrases.

Subject headings
Error Correction
OCLC
Online Catalogs
Cataloging Errors
MARC Records
Automatic Error Correction

INTRODUCTION

This study identifies errors in subject headings found in topical and geographic subject heading fields of OCLC records. The computer programs that were used to examine the headings were designed only to verify that the headings entered into the database matched authorized forms. No attempt was made to determine if assigned headings were used properly. It was found that most of the errors fell into five broad classes: (1) inconsistencies in capitalization, punctuation and spacing; (2) typographical errors; (3) incorrect MARC tag or subfield code; (4) invalid subdivision form; and (5) invalid and unauthorized headings.

Variant forms of subject headings, including typographical errors, present different problems in online catalogs and card catalogs. In either environment, however, errors in subject heading fields make searching more difficult and make material inaccessable by subject.

BACKGROUND

Subject heading errors were identified by a three-phase error correction procedure [1-2]. The technique used a series of computer programs to normalize differences in capitalization, punctuation, and spacing, to correct errors in the assignment of MARC tags and subfield codes, and to identify and correct typographical errors.

The error correction procedure reviewed subject headings extracted from approximately two million OCLC records. The OCLC database was scanned for records assigned topical and geographic subject headings based on Library of Congress Subject Headings (LCSH) (the 650 and 651 fields, second indicator equal to blank). The complete headings were then separated into 220,875 unique subfields, which were considered by the error correction technique.

SUBJECT HEADING ERRORS

Capitalization, Punctuation, and Spacing Errors

The most common errors found were inconsistencies in capitalization, punctuation, and spacing. This group also includes variations in the use of diacritics. Examples of variants of this type for "Addresses, essays, lectures" are:

 Addresses,   essays, lectures
Ad   dresses, essays, lectures
Addresses, essays, lec tures
; Addresses, essays, lectures
Addresses. essays. lectures
Addresses, (essays) lectures
Addresses, essays, Lectures
Addresses, Essays, Lectures
Addresses, Essays, lectures

By grouping subfields, which differed only in capitalization, punctuation, and spacing, 26,017 variants were identified. These variants accounted for about 11.8% of the subfields processed. Although these inconsistencies are relatively unimportant in card catalogs, they can become significant problems in a computerized system. For instance, in a computer "History" and "history" would be stored as two distinct character strings.

Typographical Errors

The second most common type of variant found was typographical errors. The majority of the typographical errors are of four types: (1) omission errors; (2) addition errors; (3) substitution errors; and (4) transposition errors [3]. Many spelling errors were also included in this class of variants. Although these errors were less common than those of the previous group, they generally cause greater problems in both manual and computerized catalogs. An example of each type of error is shown in table 1.

Table 1

Typographical error types

Error Type	Text of Subfield
Omission Error	Englsh language letter i omitted
Addition Error	English langauage letter a added
Substitution Error	English lamguage letter m incorrectly substituted
Transposition Error	English lanugage letters ug transposed

An omission error results when a character is dropped from a subfield. For example, "Englsh language" instead of "English language" resulted from omitting the letter i. An addition error occurs when an extra character is added to a subfield. "English langauage," which has an extra a, is an example of an addition error. A substitution error, such as "English lamguage," occurs when one character is replaced by an incorrect character. A transposition error results when a pair of adjacent characters is transposed. "English lanugage" illustrates a transposition error.

Approximately 5.4% of the subfields were found to contain typographical errors. Omission errors were most common and accounted for 44% of the 11,965 typographical errors corrected. Addition errors comprised 27.3% of the remaining errors, and substitution errors comprised 20%. Transposition errors were least frequent and accounted for only 8.7% of the total number of typographical errors. Table 2 shows typographical errors of the general subdivision "Guide-books."

Table 2

Typographical variants of "Guide-books"

Type of Error	Text of Subfield
Omission	Guide-book
Substitution	Guide-gooks
Omission	Guid-books
Addition	Guilde-books
Addition	Guide-boosks
Addition	Guide- boooks
Substitution	Guide-bboks
Omission	Guide-boks

MARC Tag and Subfield Code Errors

The incorrect use of MARC tags or subfield codes is the third most common type of subject heading errors. For example, the subfield "Addresses, essays, lectures" was assigned subfield codes of a, b, x, y, and z (see table 3). Only the subfield code x, which denotes a general subdivision, is correct. Similar errors result from the incorrect use of field tags. For instance, the main topical headings "Libraries," "Abandoned children," and "Bird populations" were all assigned MARC tags of 651 designating them as geographic headings.

Table 3

Subfield codes assigned to "Addresses, essays, lectures"

Subfield Code	Frequency	Text of Subfield
x	78321	Addresses, essays, lectures
z	55	Addresses, essays, lectures
y	33	Addresses, essays, lectures
b	23	Addresses, essays, lectures
a	3	Addresses, essays, lectures

Overall, the correction process identified 3511 errors in MARC tags and 4191 errors in the assignment of subfield codes. A review of the incorrect subfields suggests that errors result because: (1) the correct MARC tag or subfield was incorrectly typed; (2) the meaning of the term is unclear; and (3) the correct tag or subfield code is not obvious.

Errors of the type illustrated by the topical heading "Libraries" tagged 651 and the general subdivision "Addresses, essays, lectures" assigned a subfield code of z probably resulted from mistyping the tag or subfield code. However, the meanings of several headings are unclear and require careful definition before the correct tag or subfield code can be determined. For example:

F region
Curzon line
Genyosha
Per-m-hru
Avesta

Failure to properly define subject heading terms can produce some rather ludicrous results. For instance, the following topical headings were all assigned geographic MARC tags (651) in OCLC records:

Islands of Langerhans	[the pancreas]
Lake trout	[the fish]
Lake sturgeon	[the fish]

For certain types of headings the correct tag or subfield code is not obvious, since Library of Congress' guidelines for assigning tags and subfield codes are not always consistent and sometimes change. For instance:

bridges are topical;
streets and roads are geographic;
ships are corporate--Bounty (Ship) is tagged 610;
Jews was once tagged 610, but is now topical and tagged 650

To further add to the confusion, some classes of headings are 650 or 651 if established by LC's Subject Cataloging Division, and 610 if established by LC's Descriptive Cataloging Division. For example:

650 Douglas, Camp, Ill.
610 Fort Apache, Ariz.

These examples illustrate some of the difficulties in assigning tags and subfield codes.

Invalid and Unauthorized Forms

A number of invalid and unauthorized forms of main headings and subdivisions were identified as a result of the correction procedures. The term "Aleutians," for example, was tagged both 650 and 651. It is not a valid heading. The topical heading "Aleuts" is used to refer to the people, and the geographic heading "Aleutian Islands (Alaska)" is used to refer to the islands.

Errors which resulted in an invalid subdivision often involved the omission of the subfield code delimiter, as in

"France x Description and travel"

instead of

"France ǂx Description and travel".

The separation of a single heading into two distinct subfields was also a relatively common error. For instance, the main topical heading "World War, 1939-1945" was often entered as "World War, ǂy 1939-1945".

Entries which were not LC topical or geographic headings, but were incorrectly assigned tags of 650 or 651, were also identified. These types of headings include:

600	Personal name
610	Corporate name
611	Conference/Meeting name
630	Uniform title

A total of 1944 invalid headings and subdivisions were found. Because this study was limited to the correction of topical and geographic headings, errors of this type were not corrected.

CONCLUSIONS

Complete results for the error correction procedures are shown in table 4. When all error types were considered, it was found that about 22% of the subfields were variant forms. These findings indicate that errors of the types corrected for are pervasive in topical and geographic subject heading fields of OCLC records and that better authority management is necessary.

Table 4

Results of Correction Procedures

Type of Error	Number of Entries	Percent
No Error Found	173,247	78.4
Capitalization, Punctuation, Spacing Variant	26,017	11.8
Addition	3,278	1.5
Omission	5,258	2.4
Substitution	2,391	1.1
Transposition	1,038	.5
MARC Tag or Subfield Code Error	7,702	3.5
Invalid Form	1,944	.9
TOTAL	220,875	100.0

The most efficient means of improving database quality appears to be through the creation of a subject authority file used in conjunction with automatic error correction procedures. Such an automatic authority control process can insure that newly entered headings are free from simple spelling and typographical errors and errors in capitalization, spacing, punctuation, and tagging. It is important to note that such verification does not mean that a heading is used properly, but only that the heading entered matches an authority file entry. That is, it could be used to guarantee that authorized forms for headings are used consistently and uniformly. When a heading is entered that does not match an established form, the record in which the heading appears can be flagged for manual review to determine whether the heading represents a newly authorized form that should be entered into the file, or simply an error. In a network environment like OCLC, machine-readable authority files and automatic validation processes would significantly reduce the number of database errors.

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FINANCIAL MANAGEMENT OF ONLINE CATALOGS

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Abstract. This paper summarizes some recent findings of online catalog studies from the perspective of cost and financial management of online catalogs. Libraries will find cost management and financial planning challenging, because online catalogs are expensive, subject to inexorable pressures for growth, and afflicted by uncertainty regarding technological and economic trends. All three factors (cost, growth and uncertainty) are discussed in detail. To assist libraries to cope with these conflicting pressures, five approaches to acquiring an online catalog are described, each providing a different approach to cost management. Finally, several specific practical suggestions for procuring and managing online catalogs are offered.

Keywords and Phrases. Online Catalogs; Library Automation; Costs; Management; Financial Planning; Library Catalogs.

THE ONLINE LIBRARY CATALOG AND FINANCIAL MANAGEMENT

Precedents in Library Automation

Many libraries are familiar with the trials and tribulations associated with deciding to implement an online computing system, and with finding a way to pay for it. Many libraries have had automated systems long enough to have learned to cope with the problems of replacing and upgrading their systems. As our collective experience grows with second and third generation systems for cataloging, acquisitions and circulation, we learn more about the problems of operational and financial management involved.

It is our belief, however, that the online catalog is a very different breed of library automation system, and that our experience to date has not necessarily prepared us to deal with the pressures for growth and change that this new service will bring about. In this paper, we would like to bring together some material from several online catalog studies sponsored by the Council on Library Resources, in order to identify some issues of particular importance to managing online catalog systems in academic libraries. We will review some of the factors that influence the development of online catalog system, and consider the costs of such systems and the financial implications of the pressure for growth. We will also suggest some methods by which libraries can manage cost and adapt to growing systems, and close with some practical ideas for managing this new entity, the online library

What Does an Online Catalog Cost?

When we discuss matters like cost and financial management, it is often helpful to know the size of the ballpark we're in. First, I would like to describe two hypothetical "average" academic libraries, the characteristics of which were drawn from reported statistics from the National Center for Educational Statistics and the Association of Research Libraries. Then I will display cost estimates from three major vendors for supplying basic online catalogs for these two libraries. The hypothetical libraries are (Table 1):

- The "average" American academic library, holding 166,500 volumes, and with annual acquisitions of 6,900 volumes per year.[1] We estimate that this average library will have between 64,500 and 84,100 items circulate per year,[2] and will need between four and six online catalog terminals for public access.[3] It has a budget of $481,000, of which $227,500 is devoted to salaries and wages.[4]

- An "average" university-based research library, with 1,869,000 volumes and annual acquisitions of 57,700 volumes.[5] This library will circulate between 723,700 and 944,200 items per year,[6] and will require between 48 and 62 public access terminals.[7] Its total budget is roughly $6 million, of which $3,277,000 is spent on salaries and wages.[8]

We can see from the vendor estimates in Table 2 that, for many academic libraries, basic systems will cost something on the order of $200,000 to acquire, and about $20,000 per year to maintain. For large academic librar-

TABLE 1

Characteristics of Two Average Academic Libraries

	Average Academic Library	*Average Academic Research Library*
Volumes Held	166,500	1,869,000
Annual Acquisitions	6,900	57,700
Circulation	64,500- 84,100	723,000- 944,200
Online Catalog Terminals	4-6	48-62
Annual Operating Budget	$481,000	$6,047,500
Expenditures for Salaries and Wages	$227,500	$3,277,000

TABLE 2

Vendor Estimates for Online Catalogs

AVERAGE ACADEMIC LIBRARY			
	Vendor 1	*Vendor 2*	*Vendor 3*
TOTAL INITIAL COST	$217,354	$210,173	$149,681
TOTAL ANNUAL COST	$19,224	$24,828	$12,780
AVERAGE ACADEMIC RESEARCH LIBRARY			
TOTAL INITIAL COST	$494,890	$618,297	$564,072
TOTAL ANNUAL COST	$51,444	$58,548	$48,192

ies, basic systems will cost around $500,000 to $600,000 to acquire, and about $50,000 per year to maintain. These estimates are also useful in demonstrating the kind of financial commitment that our "average" libraries would have to make to acquire and operate their online catalogs. As Table 3 shows, initial costs for an online catalog are far from trivial in comparison to operating budgets; annual costs appear to be relatively manageable. However, the analysis strongly suggests that smaller libraries may be at a significant disadvantage, perhaps having to spend close to half of one year's operating budget (or all of the personnel budget) to acquire a system, and about five percent of the annual operating budget to maintain the equipment and software. Although this analysis is by no means conclusive, it is consistent with the widely held belief that automation is less affordable for small libraries. The analysis also suggests that it may be particularly important for smaller libraries to explore financial management techniques that can help avoid large initial outlays for equipment and software.

The Online Catalog--Why it is Different?

While these costs are substantial, it is not our intention to focus on initial costs alone, but to look farther down the road, where the special character of the online catalog will begin to make its mark on library management. What makes us think the online catalog is different from other aspects of library automation? There are two reasons: first, an inexorable pressure for growth and expansion of the online catalog system, and second, significant technological and economic uncertainties that make managing that growth both difficult and risky.

Consider first the nature of the pressures for growth. Unlike other existing in-house systems, which are used chiefly by library staff, and commercial search services, for which staff act as intermediaries, the online catalog is the first library computer system that is intended and (we hope) designed specifically for library users. Because of this, management problems will be unlike those we have experienced before. In understanding the effect of public access catalogs on library management, it may be helpful to note that the CLR public online catalog project found that about 90 percent of online catalog users like the online catalog, regardless of the size, type, or sophistication of the system they use, and about three-quarters of those users clearly prefer the online catalog to the card catalog.[9] At the same time, the CLR project discovered that even "satisfied" users show no hesitation in asking for improvements,[10] and that they frequently express strong concerns about the problems they experience.[11] Thus, public demand for improvements, new features, and enlarged databases is likely to be great, and may even grow over time.

The fact that the new demand for growth is *public* demand adds a new dimension. With the "librarian's systems" to which we are accustomed, it has always been possible to balance the demand for system improvements against the supply of system services by administrative action: adopting laborious manual backup procedures when the circulation system fails, adding extra shifts in the technical processing department to make the best use of a limited number of terminals, and so on. One might wonder how library users would react to this approach: "Come back at night, when fewer people are using the terminals," or "Please check the three card files over here to find what you need--we can't afford to convert our non-print media records."

Fortunately, librarians are not well disposed to ignoring the needs and demands of library users. We will try to find ways to meet these demands as much as our resources allow, and in the case of the online catalog, this appears to mean one thing: plan for growth, change, and improvement, for the users will surely demand it.

Five Dimensions of Growth. It is evident that online public access systems will grow: users want them to, and experience indicates that librarians also share this feeling. Moreover, there are at least five independent *directions* in which the catalog can grow, and pressures exist to expand on all five fronts:

1. Bibliographic records.
2. Terminals.
3. Access points.
4. Catalog features.
5. System functions.

Added Records. Database growth must be planned to match library growth. This seems self-evident, but bibliographic computing systems, like libraries, run out of space for new acquisitions, a fact that must be considered in financial and operational planning. The database will also grow through retrospective conversion: among all libraries in the CLR public access study, over 25 percent of respondents placed a priority on including more of the li-

TABLE 3

Budgets and Online Catalog Costs for Two Average Libraries

	Average Academic Library	*Average Academic Research Library*
Annual Operating Budget	$481,000	$6,047,500
Expenditures for Salaries and Wages	$227,500	$3,277,000
Median Initial System Cost	$210,173	$564,072
As a Percent of Operating Budget	43.7%	9.3%
As a Percent of Salaries and Wages	92.4%	17.2%
Median Annual Maintenance Cost	$19,244	$51,444
As a Percent of Operating Budget	4.0%	0.9%
As a Percent of Salaries and Wages	8.5%	1.6%

brary's older books in the online catalog, and confusion about which materials were included in the computer catalog was one of the top three problems experienced by users.[12] There also appears to be substantial demand to include many formats of material in the online catalog: when users were asked what additional kinds of material they wanted included in the online catalog database, only 11 percent said None.[13]

Added Terminals. *At least* half of the respondents to the CLR questionnaire want more terminals, in more places than they are presently available. There may be some minimum number of terminals below which online catalog service becomes severely compromised, but there appears to be no upper limit. The convenience of terminals in or near their homes, offices, dormitories and the like is a powerful attraction of the online catalog, and one to which users clearly respond.

Added Access Points. Basic access points are currently provided by most online catalogs, and those without them (especially those without subject access) are working to add them. As the catalog becomes a familiar tool to more users, and finds more applications, demand for additional access points may increase. It was surprising, for example, to discover that over 17 percent of the CLR respondents wanted the "ability to search for illustrations and bibliographies."[14] Public service librarians, using the catalog as a reference tool, may want access points like series name. For technical processing and interlibrary loan functions, data like LCCN, ISBN or ISSN, or bibliographic utility record number may prove useful.

Added Features. When online catalog users were asked what features they wanted a computer catalog to have, only five percent could think of nothing to add to their current catalog.[15] Among the features mentioned by more than 20 percent of the respondents were:

- Ability to search an index or thesaurus for terms related to their search terms.
- Circulation status and availability information.
- Ability to print their search results.
- Keyword searching for both subjects and titles.
- Online instruction in use of the catalog.
- Locational information on books (e.g., department, floor, stack location, perhaps in-process information).

Demand for additional features appears substantial, despite the fact that the CLR questionnaire limited the users' choices. Casual evidence suggests that many users are surprised that they cannot search journal indices (e.g., *Reader's Guide*) or obtain the full text of a journal article on the catalog terminal.

Added Functions. Some aspects of the demand for added functions arise from the foregoing discussion. Book availability information, for example, requires access to a circulation system or subsystem. The ability to search journal indices requires access to the commercial search services, the capability to mount the index files on the local catalog, or the willingness to have in-house staff index journals for the online catalog. Demand is likely to arise from inside the library as well. If the online catalog is not part of an integrated system, there will surely arise a desire to add functions or interfaces with systems providing automated support for acquisitions, serials control, ordering, fund accounting, circulation, and cataloging support. When catalog records are loaded from bibliographic utility tapes, librarians discover that using the utilities to maintain and update existing records is time-consuming and expensive: expect a demand for online editing systems.

Technological and Economic Change. Let us now turn our attention to problems of technological and economic change. Because the online catalog is a computer product, its design and cost characteristics are affected by the general technological trends in the computing industry. Large changes are occurring in four critical areas: computer performance and capacity, storage technology, software, and telecommunications.

Computing Capacity. The cost of computing capacity clearly tends to decrease over time. Although there are disagreements about how to measure the rate of decline, there is general agreement that, over the last 20 years or so, the cost of computing capacity has fallen by an order of magnitude every seven or eight years.[16] In 1959, the purchase price for most computers exceeded $1 million; at present, it is possible to choose among a number of mainframe computers that can execute over 1 million instructions per second, access up to 16 million bytes of main memory, and handle 6 or more data channels (performance characteristics that, by and large, were not available in 1959 at any price) for less than $400,000.

Storage Capacity and Cost. The cost of auxiliary storage equipment is also declining, although less rapidly. It would appear that the time required for online disk storage costs to fall by an order of magnitude is about 14 years (as opposed to 7 years for computation). Still, it is reported that the cost per bit stored on disk has gone from $0.001 in 1950 to about $0.00005 in 1980, a trend that can be expected to continue.[17]

Software. While hardware costs are falling, the cost for software is indubitably rising.[18] The reason for the increasing cost of software, of course, is that program development and maintenance is labor-intensive; people program computers. The problem of software cost is exacerbated by the fact that the number of computers is growing at a much greater rate than the number of people. The logic of this problem is inexorable:

> In the next 10 years computers will increase in speed by a factor of at least 10, perhaps much more. As they plunge in cost, many will be sold. It is estimated that the number of computers used for scientific and commercial applications will continue to grow at 25 percent per year at least. It is growing faster than that now...If we assume no increase in programming productivity, the figures above indicate that in 10 years' time the industry will need 93.1 times as many programmers as now. There are approximately 300,000 programmers in the United States today [1982]. That suggests about 28 million programmers in 10 years' time. Before long the entire American work force would be needed to program its computers.[19]

In the long run, this trend will be reversed by improved computer systems and programming methods. Of immediate interest, however, the trend creates significant scarcities in qualified programming staff, further increasing software costs. This can be a particular problem for libraries and other public agencies, who cannot afford to enter the bidding in this labor market and therefore may find themselves unable to recruit qualified staff to develop, operate, and maintain their systems.

Telecommunications. The cost trend for hardware is down; the trend for software is up; for telecommunications the trend is both and neither. On the one hand, the cost of telecommunications equipment, like modems and multiplexers, is falling in ways that are typical of other pieces of computing hardware.[20] However, trends are less clear and the situation more volatile in the area of data *transmission.* Improved technology such as satellite systems and local area networks promise significant benefits, but the communications industry is subject to numerous economic, legal and regulatory influences. Perhaps the best indicator of the strength and unpredictability of non-technical and non-market forces in this area is the recent federal court decision requiring AT&T to divest itself of its local telephone company operations. It is generally believed that the divestiture will increase local telephone rates by 50 to 100 percent, because it will no longer be possible for AT&T to subsidize local service from long-distance revenues.

Improvements in communications technology that could reduce cost may be offset by decisions in the legal and regulatory environments. It is unclear how these conflicting forces will shape the data transmission picture, but it is clear that these forces will have an effect on the design and operation of systems like online catalogs, which show a heavy dependence on telecommunication. A system designed to work efficiently in one communications environment may be impossibly cumbersome and expensive if the communications industry moves in another direction.

COST AND FINANCIAL MANAGEMENT

These two trends, growth and uncertainty, leave the library manager with a significant dilemma. Because the catalog will surely grow, advanced planning and continuing investment will be needed. Given the initial costs, mistakes can be costly, and therefore intolerable. But technological and economic uncertainty make planning uncertain, budgeting ambiguous, and today's decisions risky in tomorrow's world. How are libraries to cope?

We don't have the answers, but we can describe some alternative ways of structuring the acquisition, support and finance of an online catalog system, in the hope that many libraries will find among these alternatives one that suits their resources, situations, and aspirations.

Five Approaches to Managing Costs and Finance

There are two aspects to the purchase (or development) and operation of an online catalog: estimating how much the catalog will cost, and determining how to pay for it. We have touched on the first point; let us now consider the second.

There are several ways to acquire online catalog services, ranging from "pay-as-you-go" service bureaus or utilities to a full-fledged in-house effort, with a computer system in the library and software developed by library staff. For the purposes of this presentation, it is assumed that an online catalog sufficient to meet the needs of a particular library will cost about the same amount no matter what approach is used; only the manner of acquiring the catalog varies. The manner of acquiring the catalog chiefly influences *what* you pay for and *when*; service standards are a factor too, because some approaches are less adaptable to specific local needs than others.

Elements of Cost Management. The analysis of the cost of online catalogs has two basic dimensions: the *timing* of financial outlays; and the items or services purchased, or the *objects of expenditure*. *Timing* divides conventionally into two basic classes: *initial* costs and *annual* costs. *Objects of expenditure* can be divided into four groups: *Hardware, software, personnel,* and *other expenditures*. These two dimensions produce a variety of financial management combinations that offer significant alternatives to the library planning an online catalog.

Timing: Initial and Annual Costs. Initial costs include all items that the library must purchase in order to begin offering an operational online catalog. Depending on the kind of system chosen, initial costs may include outlays for the computer system itself, an "opening-day" database (if library records are not already in machine-readable form) and telecommunications. Annual costs are incurred to maintain the computer system (both hardware and software), the database, and the telecommunications system. This category also includes provision for planned growth in the database, improved features, and attendant upgrading of the computer system. Operating costs, such as utilities, communications costs, supplies and staff salaries are also included here.

Objects of Expenditure: Hardware, Software, Personnel. Let us now consider the four objects of expenditure: hardware, software, personnel, and other expenses.

- *Hardware.* Perhaps the most expensive and certainly the most tangible element of any online catalog will be the actual computer hardware on which it will run. Hardware also involves substantial ongoing maintenance and support costs. Another matter for consideration is equipment depreciation and obsolescence. Typically, computer equipment can be expected to have a useful life of from 5-10 years; standard computer industry practice is to plan to replace equipment every five years.

- *Software.* Along with the computer hardware is a need for software or programs to control it, including an operating system, telecommunications software, a database management system, monitoring software, and support software such as utility programs, language compilers and text editors. Finally, of course, come the online catalog applications programs themselves.

- *Personnel.* The approach taken by the library to acquire an online catalog, i.e., develop an in-house system or purchase a turnkey system, will significantly influence personnel costs. For a turnkey system, types of personnel that may be required include a system manager and computer operators. To develop and maintain an in-house system, add systems programmers, telecommunications personnel, bibliographic analysts, applications programmers and telecommunications and terminal hardware support personnel.

- *Other Expenditures.* An onsite computer can use a great variety (and a large quantity) of supplies: paper, magnetic tape, disk packs, and the like. Depending on the kind of system involved, there may be substantial charges for purchased services as well. An important example is the telephone bill for telecommunications connections to OLC terminals.

Five Approaches. Let us now consider some of the ways that alternatives of timing and object of expenditure can be combined.

Some people never buy a car. They use common carriers to meet their transportation requirements, and pay only for what they use on a "pay as you go" basis. It's up to the carriers (bus and cab companies, etc.) to choose appropriate equipment, finance its purchase, maintain it, and so on. At the other end of the spectrum, no doubt there are some people who still build their own cars (certainly there are a number who are willing to assemble cars from kits). Obtaining parts, assembling them in proper order, testing, obtaining licenses, maintaining the vehicle, financing the purchase: all these things are within the purview of the "end user."

Between these extremes lies a spectrum of alternatives: renting or leasing, buying a new car, buying a used car, and so on. So it is with online catalogs: a spectrum of alternatives exists, from "pay as you go" plans in which a vendor or "service bureau" is responsible for most aspects of selection, finance, operations and management, to complete in-house systems in which the library purchases and assembles all the hardware elements and writes all the software.

The following approaches are listed roughly in order of complexity and the degree of local library control over the characteristics of the catalog. In the simplest approach, the library purchases standardized online services from a service bureau, while in the most complex approach, the library is responsible for all aspects of specification, design, and maintenance of a computer center.

Service Bureau Approach. In the *Service Bureau* approach, an external organization provides online catalog services through terminals placed in the library. Generally the library pays for the lease or purchase of the terminals, installation fees, a fee for loading the library's records, and fixed or varying charges for use of the online catalog. The catalog itself exists at the *Service Bureau* and may also be utilized at other unrelated institutions. The library should still expect some personnel costs for someone to act as coordinator with the service bureau, and for personnel to train the users. The major benefit of this approach is that one-time startup costs are minimized or totally eliminated (see Figure 1). The library also has a limited fixed investment in the catalog. However, there is little option for customizing the catalog for the local library. In addition, the continuing or annual use charges may be substantial. Telecommunications charges can be great, especially if the service bureau computer is distant from the library.

There are numerous examples of library automation service bureaus, including OCLC, Inc., and the Research Libraries Information Network. The major citation-searching vendors (Lockheed, BRS, etc.) are also service bureaus in this sense. In the online catalog area, service bureaus include Inforonics and Avatar Systems.

Turnkey Vendor Approach. In the *Turnkey Vendor* approach an external organization provides a specialized hardware/software package containing the online catalog. This package is installed in the library and may also be linked to other systems and contain other functions beyond the online catalog. Most often vendors aim at a totally integrated library system. Often vendor turnkey systems are patterned after or developed from existing circulation control systems. There are more options for customizing such system, and systems of this type are often developed in stages

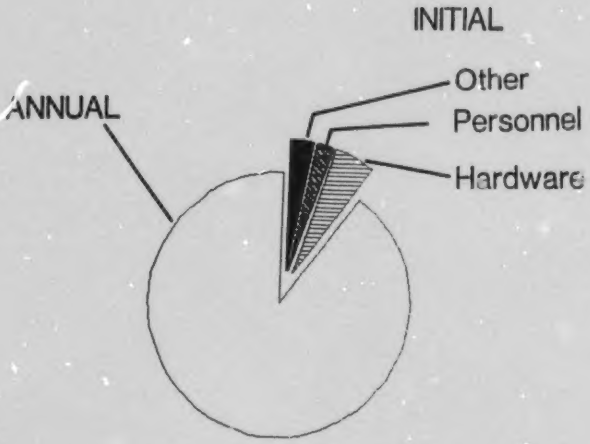

Figure 1: Cost Elements of the Service Bureau Approach

tailored to the library's funds and ability to absorb new systems. The library has more responsibility in accepting a *Turnkey Vendor* system. It must provide a suitable physical environment, specialized operating staff, and often staff to enter records into the system (Figure 2). Initially, the library must buy the vendor's hardware and software. The large share of the ongoing costs tends to be for hardware and software maintenance. Annual telecommunications charges may also be significant. Examples of the *Turnkey Vendor* approach include CLSI, Geac, and the like.

Library Hardware, Purchased Software. In the third approach, the library owns the computer (or rents time from the local computer center) and buys the online catalog software from an external supplier. Typically, the library has few choices in selecting the appropriate software to run on the local computer once the computer manufacturer becomes a "given." The library must provide specialized staff to mount, maintain, and monitor the software system. In return, the library has a greater opportunity to adapt the software package to library needs. However, it should be noted that at least initially, the library will probably have to live with the strengths and limitations of the software as delivered.

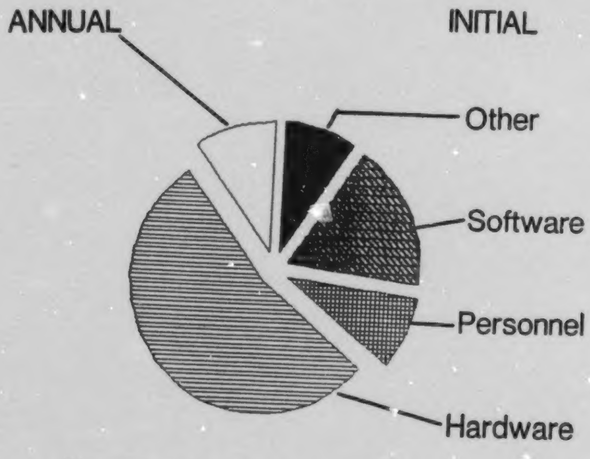

Figure 2: Cost Elements of the Turnkey Vendor Approach

Examples of purchased software are the University of Illinois system, with software purchased originally from Ohio State University and run on campus computing equipment, and the recent Illinois program involving purchase and adaptation of the Washington Library Network software. Other examples are the original National Library of Medicine version of the Integrated Library System, the software for which is in the public domain and can be purchased from NTIS for mounting on the library's computer; and the software available from the Virginia Polytechnic Institute, the Pike's Peak Library District, or Northwestern University. This approach may require a substantial initial outlay (Figure 3). The library must provide all of the hardware, for example, which constitutes nearly 75 percent of the total cost of acquiring the system. Some of these expenses may be moderated if much of the hardware already exists in the library. However, the addition of an online catalog application would probably require at least some additions to existing hardware, most notably storage devices and terminals. Having in-house hardware also involves many of the personnel costs discussed previously, including operations and system programming staff to support the computer center. The other major cost element in this configuration, of course, is the purchased application program package.

Library Software, Service Bureau Hardware. In the fourth approach the institution is responsible for writing the online catalog software, which may include the catalog proper and the database management system. The institution purchases computer time on a computer that is not within their direct control, and this computer center is responsible for maintaining the proper operating environment to run the institution's catalog. In this approach the library's choices of catalog characteristics are limited only by the available hardware and the cost of computer time, but a permanent specialized staff will be required. An example of this approach is the Minnesota State University system, developed at Mankato State University, which runs on a general campus computing system on which the library purchases computer time, and the Dallas Public Library system, which uses a city computer. This approach requires much less initial capital expense because hardware costs will be paid for on a pay as you go basis (Figure 4). One of the major costs of this approach is personnel, where it would be necessary to obtain bibliographic and systems design people, applications programmers to program the system, and applications support staff to load and maintain the database.

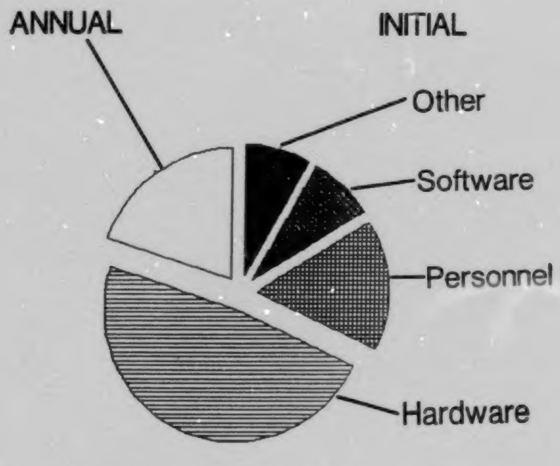

Figure 3: Cost Elements of the Library Hardware/
Purchased Software Approach

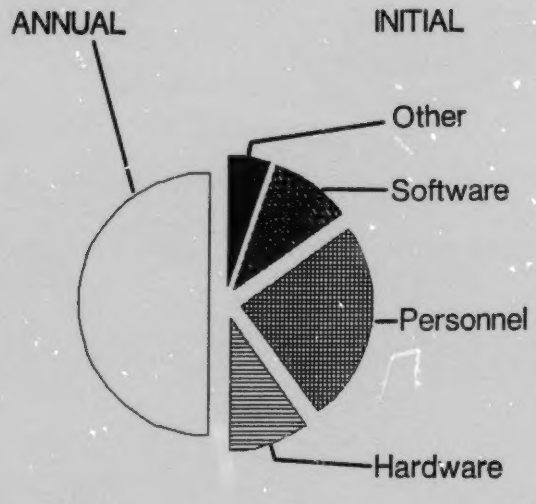

Figure 4: Cost Elements of the Library Software Service Bureau Hardware Approach

In-House Approach. Finally, the library can do it all: specify, program and implement the catalog on hardware procured and maintained by the library itself. The library has the most flexibility in this approach, limited only by funds, imagination, and endurance. The institution has to make considerable investments in hardware and software, specialized staff, and physical plant improvements. Examples of this approach are the University of California's MELVYL system, the Claremont Colleges Total Library System, and the Northwestern University's LUIS system. This approach requires both extensive initial outlays and continued financing, because every cost factor discussed earlier becomes a cost element that will be incurred here (Figure 5).

SOME PRACTICAL ADVICE

From the foregoing discussion, and the data which support it, we can extract some

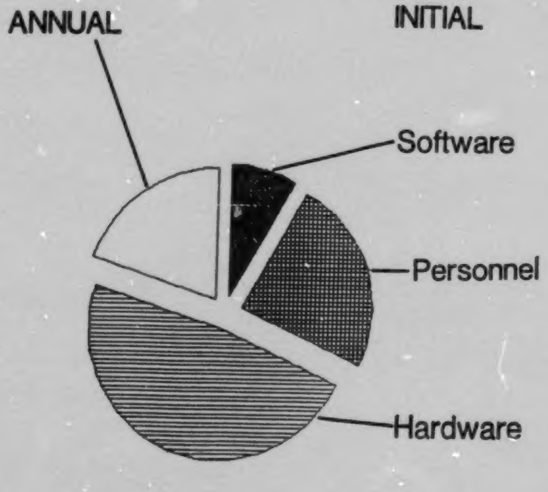

Figure 5: Cost Elements of the In-house Approach

items of practical advice for libraries planning or actively managing their online catalogs, and we would like to share these points with you now.

1. In the typical RFP process, the difference between high and low total 7 year costs is usually less than 10 to 15 percent. However, it should be noted that there are usually big differences between high and low bid prices. These differences tend to converge when the costs of maintenance over the 7 year period are included.

2. The vendor's willingness to commit to a maximum amount beyond which maintenance costs will not increase each year will do much to reduce the potential escalation of online catalog costs.

3. While the costs for an online catalog may appear to be within the same ball park, not all online catalogs are playing in the same league--that is, some online catalogs don't offer keyword or term searching, Boolean searching and the ability to limit the results of a search. Thus, it's important to try to identify the costs involved to upgrade a "stripped down" version of an online catalog to a more advanced model: more disk drives to store data and software to manipulate the data, etc. Keyword searching can add between 5 and 40 percent to the initial cost of the system and between 40-50 percent to annual maintenance costs. Authority control, which may actually reduce storage space and cost if it is part of the original design, can be exceptionally expensive if added to the system later.

4. The cost of adding features to the online catalog, with the exception of keyword or term searching, appears to be a relatively minor expense. Keyword searching requires a separate large index, which lists all individual words appearing in the database. Such an index will obviously increase initial disk storage costs as well as ongoing maintenance costs. Keyword searching may also mean the need to increase computer processing power (memory) to handle this type of searching.

5. Don't forget the costs for site preparation, both for the computer room itself and for the various online catalog terminal locations. Remember, terminals will require both electricity and cables to move the data. In older buildings, supplying power and data lines to terminals can be a remarkably expensive undertaking. Costs for the computer site preparation may range from $15,000 to $50,000 depending upon conditions in your building.

6. For a large network of terminals in the same building, a library may wish to explore the use of a local area network as an alternative to running cables to all terminal locations within the library.

7. Don't forget the potentially high initial and ongoing costs for telecommunications if your computer will link geographically remote libraries.

8. Adding acquisitions and circulation functions will typically increase the initial costs about 10 percent for each function for the average academic library and annual operating costs will likewise increase about 10 percent.

9. Depreciating the computer system, both the equipment and software, over a 7 year period is a crucial strategy for accumulating the necessary capital to replace the online catalog at the end of 7 years. This means the library should create a sinking fund to set aside the necessary system replacement costs, on an incremental basis, over the course of the 7 years. This will alleviate a major problem faced by most libraries: coming up with the large amount of capital needed to purchase the next generation of its online catalog system.

10. Given the rapid changes in technology and the competitive nature of the marketplace:

    a) Be prepared to buy a completely new system every 7 years, and

    b) Be prepared to abandon your vendor at the end of the depreciation period.

11. When you consider the implications of changing vendors, it is obviously imperative that you protect your machine-readable database. You must be able to maintain bibliographic records

of your holdings, including changes, updates and deletions, in the MARC II communications format. Some systems translate MARC to internal system formats and in the process the library may "lose" selected subfield identifiers, delimiters and tags, as well as the contents of fields that the system software does not use or display.

12. Understand and anticipate the consequences of automation on a library's operating budget. Most library budgets have two broad components, capital and operating.

    a) A computer system is a capital investment, but is not usually treated so in the capital budgets of nonprofit organizations. For better or worse, capital budgets are meant for buildings, which are intended to last for 20 or more years, rather than the 5 to 7 year span of automated systems. In most cases, budget authorities will be unwilling to treat computer acquisitions as capital expenditures, although sometimes it may be possible to write in a library computer system as part of the equipment budget for a new building.

    b) This generally means that the acquisition and operation of the computer system must be funded somehow from the operating budget. One consequence of this practice, the problem of accumulating funds for system replacement, was discussed previously. Another consequence may be to limit operational flexibility. The library's operating budget usually has two large components: personnel and acquisitions. Library managers generally have a fair amount of flexibility in the manner in resource allocation to achieve programmatic objectives. With automation, however, a portion of the budget becomes a fixed line item, and flexibility is reduced. Computer equipment and software must be maintained and the computer requires supplies, operating personnel, electricity, etc. Thus, automation imposes a new constraint on the budget--a fixed cost of substantial size, which fits into none of the conventional categories, and may severely limit managerial flexibility with respect to both personnel and materials.

ACKNOWLEDGEMENTS

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[1] U.S. Department of Education, National Center for Educational Statistics, *Library Statistics of Colleges and Universities: 1979 Institutional Data*, Washington, D.C., National Center for Educational Statistics, October 1981. These estimates were derived by dividing aggregate data for all reporting libraries (Table A, page 2) by the number of libraries reporting.

[2] In the *Library Statistics of Colleges and Universities: 1979 Institutional Data*, academic libraries circulated 201,306,592 items from aggregate holdings of 519,895,257 volumes, for an average of 0.3872 circulations per volume; this ratio is used to estimate the lower boundary, 64,500 circulations per year. To check this ratio, we referred to another standard statistical source, California State Library, *California Library Statistics and Directory 1982*, Sacramento, CA: California State Library, 1982, where we found that reporting academic libraries, with holdings of 42,703,956 volumes, circulated 21,573,775 items (page 50), for a ratio of 0.5052 circulations per volume. This ratio was used for the higher estimate, 84,100 circulations per year.

[3] This estimate is derived from a "rule of thumb" calling for one terminal per 15,000 items circulated. We do not necessarily advocate this rule for terminal planning purposes; rather we use it here as a convenient means to provide estimates for this example. The author can discuss with interested parties the derivation of this rule. Other rules in common use are reviewed in Joseph R. Matthews, *Public Access to Online Catalogs: A Planning Guide for Managers*, Weston, CT: Online, Inc., 1982.

[4] *Library Statistics of Colleges and Universities: 1979 Institutional Data*. Note that these estimates are averages of budgets and expenditures for all libraries included in each data source. The "average" expenditure for all libraries is not necessar-

ily the same as the expenditure for the "average" library. The procedure is used here only to illustrate some financial considerations in planning for online catalogs, and not to indicate the expected budgetary condition or experience of any specific library.

[5] Median values for university libraries that are members of the Association of Research Libraries, from Association of Research Libraries, *ARL Statistics 1981-82*, Washington, D.C., Association of Research Libraries, 1982, p. 18.

[6] Estimated from the circulation-per-volume ratios above. The ARL does not report circulation statistics.

[7] Using the 1/15,000 rule discussed above.

[8] Association of Research Libraries, 1982.

[9] Joseph R. Matthews, Gary S. Lawrence, and Douglas K. Ferguson, eds., *Using Online Catalogs: A Nationwide Study*, New York: Neal-Schuman, 1983, Table 27, p. 153.

[10] Matthews, Lawrence and Ferguson, Table 12, p. 109, Table 16, p. 120, and Table 20, p. 135.

[11] Matthews, Lawrence and Ferguson, pp. 122-143.

[12] Matthews, Lawrence and Ferguson, Table 16, p. 120.

[13] Matthews, Lawrence and Ferguson, Table 16, p. 120.

[14] Matthews, Lawrence and Ferguson, Table 20, p. 134.

[15] Matthews, Lawrence and Ferguson, Table 20, p. 134.

[16] See, for example, James Martin, *Application Development Without Programmers*, Prentice-Hall, 1982, or Charles P. Lecht, *The Waves of Change: A Techno-Economic Analysis of the Data Processing Industry*, Advanced Computer Techniques Corporation, 1977.

[17] Lecht, *op. cit*. Also, S. Michael Malinconico, "Mass Storage Technology and File Organization," *Journal of Library Automation*, June 1980, pp. 77-87.

[18] See, for example, Lecht, *op. cit.*, p. 16 and 32.

[19] Martin, *op. cit.*, pp. 1-2.

[20] For a useful, if somewhat technical, review of the state of telecommunications equipment, see John Seaman, "Picking the Right Data-Comm Pieces," *Computer Decisions*, November, 1981, pp. 93-116. Also, see Joseph R. Matthews and Joan Frye Williams, "Basic Guide to Telecommunications Technologies For Libraries," *Library Technology Reports* (forthcoming).

THE IMPACT OF COMPUTER TECHNOLOGY ON ACADEMIC LIBRARY BUILDINGS

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Abstract. Is it a myth or reality that the electronic age will create library buildings that are dramatically different than those of the past quarter of a century? Will the nature of library offices and work quarters be radically altered by word processing machines, computer systems, and related technology?

Experience with several high tech installations and discussion with those involved with information technology lead the author to the conclusion of dramatic change in operations but a relatively modest change in the buildings themselves. There is a description of changes that are under way: the managerial, operational, social and technical aspects. Given the described conditions, the paper concludes with a description of the nature of consequent building changes.

Keywords and Phrases. Architecture. Design of space. Electronic technology. Library building interiors. Operations. Personnel. Work quarters.

THE IMPACT OF COMPUTER TECHNOLOGY ON ACADEMIC LIBRARY BUILDINGS

The information age is providing academic libraries with some remarkable new tools. Many individuals, including some very experienced librarians, believe that this is bringing about very striking changes in the management and operations of our libraries and will result in dramatic changes in library buildings in the years immediately ahead. It is worth some effort to understand the precise nature of these changes. Quite clearly, the type of personnel that are needed, the staff development programs that should be designed and offered, the operational procedures and their decentralization, the desirable reallocation of budget dollars for word processing and other automation expenses, the necessary remodeling of academic library buildings -- all of these must be understood in order for us to move with confidence into the remaining years of this century.

This paper consequently deals with the managerial and operational aspects, the physical building implications, and the interaction of these developments. A radical technical, machine-based system revision or an operational change would affect the staffing and space allocations, and could require some extensive building remodeling. However, if the assumption that there will be a dramatic technical-operational change is unsound, then fewer of the presumed consequences will come about, at least not in the degree or precise way that one might otherwise forecast. The interdependent nature of these influences becomes important.

This paper will very briefly allude to the forecasts of change that we hear and read about; secondly, it will summarize what seems to this librarian to be a realistic expectation for the balance of this century as it affects operations and buildings; and thirdly, it will provide a few of the justifications for this conclusion. Although these justifications derive from electronic technology, they are conditioned by the nature of future library management, operational changes, the social needs of staff, and the technological work environment. In conclusion, it describes the combined effect that these four will have on the library building and offices within it.

In setting the stage for projections, one is faced on many sides with statements about the coming paperless society, the dramatic increase in electronic mail, the striking invasion of the office by the personal computer, the prospects for doing much of one's work at home via local area networks, the development of distributed processing and long distance access to shared data files, and the electronic "office in a briefcase." The proponents of these developments, and the radical impact these changes will have on our libraries, have a good deal to substantiate their position. Each of the developments just cited is now operational in one place or another. There are journals which are only published in electronic form. Searching data files, hundreds or even thousands of miles away is a daily occurrence. Some may receive five or ten percent of their mail in electronic form today, and the percentage is increasingly rapidly. A few even predict that books will become antiquarian items, that almost all of our future business activities will be done with plastic machine-readable cards and the computer terminal with video display. We need merely roll out of bed and pick up a hot cup of coffee to commence our work from our home base.

As in any effort at prediction, there will be those who are more sanguine and those who are more pessimistic. Somewhere in the midst of these projections may be the actuality that only time will reveal. I have the experience of working in a large and heavily technology-oriented university with very substantial computer expertise, a library which has over twenty years of automation experience, and with a staff well trained in the use of about eighty terminals in their work. Given this background I suggest that a probable academic library picture of the future would reveal a great number of small operational changes, a few of considerable substance, and almost none which would justify a description of "dramatic" in terms of physical change. I do not mean to paint a dour picture, or a disheartening trend, for indeed my own experience shows that every part of the library in which I work has been affected in the past twenty years, and it will continue to change in exciting ways over the years ahead. I receive electronic mail every day or two, well over ninety percent of the staff use computer terminals in their daily work, and minor building changes have been made to accommodate this electronic technology. Yet, with the host of changes of an operational procedural nature, they do not on the whole seem to warrant a description of "radical," "striking," or "dramatic." "Evolutionary rather than revolutionary" continues to be the appropriate description of library changes. One of the most respected Canadian academic librarians has indicated that, in the application of computer technology, "The real planning and design problems are not so much architectural as attitudinal. Librarians have not been prepared to rethink philosophy, policy, procedures, which technologies could change, providing more effective service for users."

Unless economic conditions between now and 1994 remain much worse than I expect, it seems certain that every academic library will have one or more computer terminals for operational purposes. A majority of all staff in every large library will be using computer technology and, in some libraries, the percentage could be well over ninety percent. Although it is very difficult to define automation costs, I would say that between five and ten percent of an academic library budget will probably be expended for services that are contracted for from a network or a computer center, for inhouse expenditures of hardware and telecommunications, systems support, and related activities. I provide this judgment in an attempt to characterize the kind of reality that I believe awaits us within ten years.

Let me now turn to the components of this new style of academic library service. I shall touch upon some of the conditions or advantages or constraints that will help shape this future. I shall deal briefly with the managerial, operational, social and technical influences. Then I shall outline probable physical aspects of these changes.

1. Managerial: There is no disputing the fact that automated systems enable us to work at home, or to work in very small offices with a terminal but without any side chair or conference table. Yet there is a major managerial constraint that will significantly moderate the extent of changes in this direction. A good deal of the service and administrative work that academic librarians do is conducted in discussions. It will never be satisfactory for the reference librarian to sit, as a telephone switchboard operator used to, talking to a faceless person on the other end of the line. Academic libraries will never have all their collections in machine-readable files perfectly indexed for electronic access. Management of technical services and the general administrative services are also heavily based on face to face consultation. The search process for new staff involves personal interviews, hardly the sort that one would do simply by electronic inquiry. Studies have shown that sixty to ninety percent of the time of effective managers is spent in personal contact with staff and with their professional colleagues. The interactive process of creating new services and working with faculty and students on library refinements is one that only in a science fiction world could be effectively handled by computer teleconferencing. Even in the electronic age, face to face discussion and small group planning sessions will remain the effective form for a good deal of academic library management.

2. Operational: There is a set of circumstances that will constrain the degree to which libraries move from a paper to an electronic environment. Let me briefly cite five of these. First, as a data storage device, a computer terminal has many of the same limitations as microfilm, which has been around for a hundred years: it is not as readily portable as a book because of the size and weight, the need for subdued light for comfortable reading of a screen, and the need for two hands on a keyboard. A VDT cannot be conveniently viewed on a crowded bus, or in the park, or carried into the Faculty Club for luncheon discussion with a colleague. One will not be able simultaneously to display pages from different reports or journals for convenient comparison. Secondly, as a processing device, the computer cannot be used for one to compose and edit some kinds of writings as fast on a screen as one can on paper. The eye and pencil can move back and forth among lines composed on a sheet of paper faster than can be done on screen, even though the latter has remarkable text editing advantages. Thirdly, while text is commonly composed electronically, as a communications device, the computer cannot produce text electronically delivered in a convenient, prearranged and indexed package as is today's Board of Trustees Agenda. Fourth, confidentiality of electronic mail is less secure than paper mail, as one can frequently tell from newspaper reports. This process thus may be more suspect for use in grievance findings, closed payrolls, and confidential personnel actions. Fifth, until all business offices and most homes of professional people have electronic networked

devices, memoranda and documents and working papers will be more likely to go by traditional distribution. Most academic organizations will go slowly in giving up current typewriters and distribution systems in order to pay for universal coverage by the electronic. The funding that will be required to maintain typewriters and pay for terminals during a transitional decade or two may be difficult to obtain. All of this is not to say that the electronic office is not coming very rapidly, and academic libraries will not be an exception, but rather that there are practical conditions that will moderate or temper the extent and speed of change.

3. Social: Among the social concerns are personal identity, the degree of physical isolation, human feedback or rewards as conveyed by expressions of approval, the work schedule option of "flex time" and its probable counterpart of "flex place." In accommodating these concerns, the social needs of staff will again moderate the degree of change. Similar factors apply here as were referred to in the managerial context. Individuals usually work not only for wages but also for the satisfaction of creating something or providing a service. Since libraries are service organizations, they draw as employees those who enjoy working with people, and they wish as part of their occupation to see other human beings, talk with faculty, students and colleagues, and thereby to enjoy human relationships. People are in fact social creatures. Given that people work for satisfaction as well as for income and job security, there is the need to be trained on the job, counseled, mentored, receive explanations and enjoy social contact. Employees will still appreciate such amenities as artwork, plants, the personal coffee cup and other items that help personalize one's work area. Few would enjoy the isolation of the ultimate electronic world in which one can put in eight hours work in one's apartment.

4. Technical: With all of the impressive power that a computer system and network connections can provide, it still requires one to be stationed before a keyboard. That is not a comfortable position for hours on end. If combined with a video display, there are a complex of problems, including the current irritation of flickers, a lack of sharpness when compared with good page printing, and a difficulty in many settings to adjust screens so as to eliminate reflections or glare. In ergonomic considerations, the stationary nature of terminal work combined with these equipment conditions frequently result in extensive user complaints of fatigue, the eyes being irritated, physical problems such as neck aches or shoulder tightness and job stress. As stated in the April 1983 Harvard Medical School Health Letter about "VDTs - A New Social Disease," the video display terminal changes the nature of the work people do and, with careful thought and effort, "there are many opportunities to avoid becoming a 'terminal case'."

With a recognition of the above factors, what physical changes are likely to be needed as electronic technology spreads throughout the academic library?

There will be more decentralization of some operations and services, which could result in, for example, technical processing being done in branch libraries where previously it may have been done centrally, thereby requiring shifts in space allocation. The card catalog will be closed as online terminals provide adequate access to library holdings, thereby creating other shifts of space, although they may be modest. Most or all of the student reading positions may need to be wet carrels, accommodating videodisc readers and portable computers or terminals. Lower overall room illumination may be necessary. Power and signal grids in the floor or overhead power and signal supply sources will be more common. There will be few academic libraries with large mainframe computers; but nearly every library will have microcomputers or maybe a few minicomputers. Task lighting and ventilation with adjustability for small modular spaces will be needed so as to provide much more flexibility for space changes in library work quarters without undue expense. There will generally need to be two to four times as much power and signal capacity than has been the recent norm. A small microwave dish on the roof may be needed.

As the application of technology enables a gradual shift in staffing, the traditional standard of one professional for every two to three support staff will change in the direction of a one-to-one proportion, with attendant alterations in library space assignments and some upgrade in the quality of work stations. Social, managerial and operational factors may suggest that a staff member might have one location for reading, thinking, and talking with people, and certain hours where the schedule permits access to an electronic console with, perhaps, a minimum of two displays and a complex variety of process actions available at the fingertips, such as a high speed printer with collating and binding capacity and perhaps a digital facsimile transmitter-receiver. In other words, depending on the cost of a really effective electronic workstation, the position may be "hot-seated," meaning that it is scheduled for use by different staff for the hours the library is open and on a flex time schedule. The costs of this technology will have a great influence on the extent to which it is received by higher education.

It may be just a few years when there will be portable terminals at a price that would in fact enable library planners, processors and managers to afford the computer in the attache case, perhaps with a wafer-thin video screen or the capacity for an audio rendering of what appears on the screen so that on an airplane, or in a private car, or sitting under a tree one still could undertake certain operations.

Technological change isn't as fast as we may think, and future shock is simply a popular misconception. That is the estimate of a well known scientist and pioneer in artificial intelligence. Professor John McCarthy reminds us that between 1890 and 1920, people experienced much more technological change in their daily lives than they have recently. Electricity, refrigeration, telephones, automobiles, airplanes, and the radio all came on the popular market during that thirty-year period. Recently only television has had a really basic impact. Computers and other forms of electronic technology are gradually being applied more and more widely, and they will have their impact. But it is unlikely that their impact on the library facility will be as great as, for example, the invention of the elevator or the development of air conditioning.

In conclusion, one can see that there are not only technical matters but also sociological and managerial factors which will have a bearing on the actual conditions that can be expected. It is change, but it is difficult to be certain of the precise nature of the change. We today are likely to overestimate the impact of computers in the short run and underestimate it in the long run. Applications will evolve in libraries, though not at a "radical" pace. Still, the last third of this century is an exceedingly exciting time as we witness these technological transformations.

REFERENCE

For a different and complementary view of this topic, see: Margaret Beckman, "Library Buildings in the Network Environment," Journal of Academic Librarianship 9, no. 5 (November 1983): 281-284.

Section III:

BIBLIOGRAPHIC INSTRUCTION

PATRON USE AND UNDERSTANDING OF THE COM AND CARD CATALOGS AT GEORGIA STATE UNIVERSITY

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Abstract. Are library users effectively served by a mutually exclusive two-catalog access system? A survey was conducted at Georgia State University to determine patron use and understanding of a frozen card catalog and a COM catalog which is updated weekly by an In Process File. It was found that the majority of users were willing to search both catalogs and that most preferred using the COM. The In Process File was not used because patrons did not know about it. Additional results regarding bibliographic elements and access points, as well as filing rules used in the two catalogs, are discussed.

INTRODUCTION

The Pullen Library of Georgia State University has cataloged new acquisitions on-line through OCLC since January of 1975. In June of 1981, the library introduced its COM (Computer Output Microfiche) catalog. Six months later, all titles listed in the COM were removed from the card catalog leaving Georgia State with two separate catalogs--a frozen card catalog and a COM catalog, which is updated weekly by an In Process File.

The COM catalog had been in place for almost two years when several members of the Catalog Department decided an evaluation of the public catalogs was in order. We wanted to discover how patrons used the COM catalog, whether they preferred the COM catalog to the card catalog, and whether they understood, and were effectively served by, a two-file system.

We approached our study with some trepidation. Pullen Library is converting bibliographic records to machine-readable form as time and money permit, but at present the library and its users are caught in a transitional phase between the familiar but limited card catalog and the unfamiliar but more versatile COM catalog.

We were concerned about our patrons' willingness and ability to search two separate and very different catalogs in order to access the entire collection. We also wondered whether the presence of the two-file system would hinder acceptance of the COM catalog. A 1979 study by James Dwyer concluded that COM catalogs are less likely to be accepted when they must be used in conjunction with another catalog.[1] Hewitt and Gleim, in a 1979 study, suggested that it would be better to keep the card catalog open and comprehensive while automating gradually until the COM catalog could be presented as an automated *fait accompli*.[2] Georgia State University did not follow this particular strategy, preferring to acclimate the user to a COM catalog with partial listings.

DESCRIPTION OF CATALOGS

When the COM catalog was in development, the library made several arbitrary decisions which we hoped would better serve the user, but which also enhanced the already strong disparity between the two catalogs.

The card catalog is a traditional dictionary catalog. Entries are filed according to the Library of Congress filing rules so that words file differently depending on their use. The card catalog has "see" references to guide the user, but not "see also" references.

The COM catalog is a split catalog with an author/title file and a subject file. The entries are arranged according to the American Library Association filing rules--a simpler, more alphabetic arrangement. The COM has both "see" and "see also" references to assist the patron.

The COM catalog is cumulated three times a year and is supplemented by a weekly update, the In Process File, which displays titles cataloged since the cut-off date for inclusion in the current COM.

The COM catalog is our vital catalog. We can change its arrangement and content to suit patron and library needs. We add not only new acquisitions but old titles through our retrospective conversion project. Our card catalog, on the other hand is frozen, marking time until the catalog is completely automated, at which time the cards can be discarded.

PURPOSE OF THE STUDY

Our survey was undertaken for many reasons. Our primary objective was to evaluate the COM and to determine whether our patrons were pleased with the COM and effectively served by it. At the same time, we wanted to evaluate the two-file catalog system to determine whether our patrons were willing to use this interim arrangement, or whether they found the two-file system too inconvenient and cumbersome.

BEST COPY AVAILABLE

Our next objective was to determine what search strategies users employed and what information they expected the catalogs to deliver so that we would have a basis for future administrative decisions involving the COM catalog and Catalog Department resources.

One of the values of an automated catalog is the ability to manipulate and change the file. We hoped our study would validate some of the decisions we had arbitrarily made with regard to the format and content of the COM and enable us to decide on future enhancements for the greater benefit of our patrons.

The final reason for undertaking the survey was to provide some much needed interaction between the Catalog Department and the user. The survey gave patrons a chance to interact with librarians who traditionally keep a low profile but who perform functions that directly affect user access to the collection.

HYPOTHESES

Before we began our survey, we formulated three major hypotheses. We expected that students would prefer the more versatile COM catalog over the card catalog. We also hypothesized that patrons would prefer that all the library's holdings be listed in one catalog, and that patrons would be reluctant to search two catalog files to find library materials. Finally, we expected the method of learning about the COM catalog to affect patron understanding and use of both catalogs, so that patrons who learned about the COM from a Reference Librarian or in a Bibliographic Instruction class would understand and use both catalogs more effectively than patrons who learned in a less systematic way.

METHODOLOGY

We began our study with a literature search through the Library Literature index and the on-line LISA data base. Relevant COM studies[3] assisted us in developing a questionnaire which was pretested and then administered during the Summer quarter of 1983. (For a copy of the questionnaire see Appendix A)

Georgia State University is a large urban institution located near the state government complex, the downtown business community and many other educational institutions. Pullen Library, therefore, serves many disparate user groups other than the traditional university community. The enrollment for Summer quarter was 14,266 (9,452 FTE students) and Summer faculty and staff numbered 1,327. To ensure that an adequate cross-section of the library community was sampled, questionnaires were handed out directly by the survey team at different hours of the day and evening, seven days a week. Five hundred thirty-four questionnaires were distributed directly; 434, or 81% were returned. Four hundred sixty questionnaires were placed at the catalogs--the COM center and the card catalog on the main floor and at COM stations on the stack floors--with signs requesting patron assistance with the survey. Two hundred forty-two, or 53% were returned.

In all, 676, or 68% of the questionnaires were returned. Six hundred forty-eight of these were useable, for a return rate of 65%.

Our sample turned out to be primarily students with 251 undergraduates, 318 graduate students, 30 faculty, nine staff and 40 respondents falling into the "other" category. The age of the respondents ranged from 20 and under (56), 21-30 (347), 31-40 (176) and over 40 (68).

The data collected were analyzed using the frequency and crosstabs procedures of the Statistical Package for the Social Sciences (SPSS). The significance of relationships in the crosstabs tables was measured using the chi square statistic. Statistical significance is indicated by the equations $P < .001$, $P < .01$, and $P < .05$, with $P < .001$ demonstrating the highest significance.

FINDINGS

COM Catalog

There is always the fear when something new or different is introduced into a traditional setting such as a library that public acceptance may be slow or nonexistent. So perhaps the most reassuring of our findings was that 63.2% of the sample found the COM easier and 65% found the COM faster to use.

This preference for the COM is reflected by the fact that 59.7% used the COM first as part of their search strategy. Those who used the COM first cited date of material as their primary reason (41.7%), while those using the card catalog first generally cited preference (46.5%). ($P < .001$) (Table 1) All status groups were likely to use the COM first, but faculty and graduate students were somewhat more likely. ($P < .05$)

These statistics were reflected in the respondents' comments. Most found sitting at a table with the catalog in one place was faster and more convenient. They also noted that more bibliographic records could be scanned on a microfiche viewer screen, and that manipulating the microfiche was faster than flipping cards. Users also appreciated having COM stations on the stack floors, although one noted the inconvenience of having to go back to the lobby to check the card catalog for older materials.

Those preferring the card catalog cited physical reasons such as eyestrain from the microfiche readers, and familiarity and habit. One respondent stated, "I just like to keep old things."

The most troubling statistics concerned use and understanding of the IPF or In Process File. The In Process File begins as an acquisitions file with call numbers added after the item is cataloged. It is used weekly and serves as an update to the COM catalog. Materials may be accessed only by main entry or title. Cataloged items remain in the IPF for 360 days, so some overlap exists between the COM and the IPF. The IPF generally provides the only access for materials cataloged during the previous four months.

Only 9.1% of the sample used the IPF often, with 16.7% using it sometimes, 15.5% using it rarely, 15% never using it, and 43.4% of the sample unaware of the file's existence.

A rather surprising statistic emerged when we compared the method of learning the COM with use of the IPF. Only 5.6% of those who learned to use the COM through the Reference Department used the IPF often, and 46.9% did not know about the IPF. Only 10.9% of those who learned about the COM in a library class used the IPF often, and 50% did not know about the file. Of those who learned about the COM on their own, 10.7% used the IPF often, and 41.1% did not know about the file. ($P < .001$) (Table 2)

Several COM studies indicated that resistance to supplement files is a common if disturbing phenomenon. Our study shows that a large number of our patrons simply do not know about the IPF. This indicates a definite need to publicize the file more aggressively so that our current material is accessible. We will need to study the use of the IPF again in the future to determine whether the lack of use is due to ignorance or a disinclination to look for information in more than one place.

Card Catalog

When the COM was first introduced, graphics were used to explain the difference between the two catalogs and the need to search both catalogs to access the collection. These graphics have since been removed, and we wondered whether users were using both catalogs, or just the one they preferred. Our study indicated that 52% use both catalogs often and 26% use both catalogs sometimes, leaving only 22% who use both catalogs rarely or never. We found use of both catalogs at least some of the time by 78% of the sample to be acceptable, although improvement is needed in this area.

We asked respondents how important it was to them that all titles be listed in one catalog. 51.2% said it was very important, 32.1% said somewhat important and 16.6% said not important. When we compared the importance of a single catalog with the willingness to search both catalogs, we found that one catalog was most important for those who never use both catalogs (68.9%). Only 47% of those who often look in both catalogs felt it was very important that all materials be listed in one catalog. ($P < .05$) (Table 3)

Our study indicated that the majority of respondents learned to use the COM on their own (58.6%) as opposed to those who learned from the Reference Department (22.7%), in a class (7.2%) or by other methods (10.5%). In light of this, it is not surprising that many users displayed a basic lack of understanding of the two catalogs. 17.1% did not know the difference between the two catalogs, and only 9.6% knew that they were mutually exclusive files with few overlaps. 65.7% believed that the card catalog contains materials cataloged through 1974, and the COM all materials cataloged since. This is no longer true now that the in-house retrospective conversion project is converting 1,000 older titles each month, and indicates a need for publicizing this project.

At the very least, 75.3% of the respondents are aware of the need to look in both catalogs for access to the bulk of the collection. We were heartened to learn that only 6.6% of the respondents believed that the catlogs duplicated each other. In the absence of graphics, we were afraid that this would be a natural assumption.

84.2% did not know how entries were filed in the card catalog, and 80% did not know how entries were filed in the COM. Those who commented preferred the ALA filing system used in the COM. One respondent stated that a "college degree in alphabetization" should not be necessary to use the catalogs.

ADMINISTRATIVE DECISIONS IN THE CATALOG DEPARTMENT

The advent of the COM catalog and the advent of the second edition of the ANGLO-AMERICAN CATALOGUING RULES (AACR2) have both posed problems for allocating Catalog Department resources. Name and subject authority control for the COM has proved inadequate and at present, members of the Catalog Department must check each entry in the COM to pinpoint discrepancies, until the authority problem can be corrected. At the same time, the department is faced with an unwieldy backlog of series entries needing conversion to AACR2 form.

The survey indicated that a large number of respondents search often or sometimes by author (88%), title (88.6%) and subject (89.5%), but only 22.6% search often or sometimes by series. This indicates to us that solving the problem of name and subject control should take precedence over series conversion.

We also wondered whether users would prefer a shortened form of the bibliographic record--an option offered, and in some cases required, by COM vendors. In addition, we wondered if patrons used cross references. We asked our users whether they used "see" references, "see also" references, tracings, and serial linking notes and holdings. Between 30% and 85% of the sample use these features often or sometimes, with series notes used least often. For this reason, we will probably continue to provide cross references and the full bibliographic records.

Our study also indicated that 60.5% preferred the split catalog over the dictionary catalog. When we purchased the COM, we had arbitrarily decided on a split catalog, so we were glad to have this decision validated.

INTERACTION WITH PATRONS AND CONCLUSION

We had expected that patrons would prefer the COM catalog to the card catalog, and we were pleased to have our first hypothesis validated. 63.2% of the sample found the COM easier and 65% found the COM faster to use.

Our hypothesis that patrons would prefer that all library materials be listed in one catalog, and that patrons would be unwilling to search in two catalog files was validated in part. 51.2% of the sample said that it was very important and 32.1% said that it was somewhat important that all library materials be listed in one catalog. However, a majority of our respondents (78%) were willing to search both catalogs at least some of the time, indicating that our two-file catalog system is a viable interim method of providing access to the collection.

The most surprising finding was that patrons who learned to use the COM from a Reference Librarian or in a Bibliographic Instruction class displayed the same lack of understanding about the basic differences between the two catalogs and about the weekly update or In Process File as the patrons who learned on their own or in other ways. This is an area that will require further study.

We were pleased that the COM was received favorably and that patrons are able to live temporarily with a two-catalog system. Perhaps the greatest benefit of the survey, however, was the opportunity for direct interaction with library patrons.

Patrons had a chance to compliment, air grievances, and make suggestions that would directly affect Catalog Department policies and procedures. Our patrons seemed to welcome this opportunity and were uniformly courteous and receptive when we approached them with our questionnaires.

Members of the Catalog Department appreciated the opportunity to meet with library users. Most of us are tired of "doing good by stealth," and the questionnaire gave us a chance to explain the role of the Catalog Department and to demonstrate a concern for patrons' needs. Members of the survey team found themselves conducting impromptu training sessions on the use of the COM, and the Reference Department reported a record number of questions concerning the IPF.

The survey was a timely reminder that the primary goal of the Catalog Department is service to the patron. The survey also gave us a chance to experience some positive reinforcement from our patrons. One patron wrote, "Libraries are fabulous! Librarians are great! Keep up the good work!' Many of us felt that comments like these made the project, and our careers, worthwhile.

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TABLE 1

USE

	Card Catalog	COM Catalog	Either Catalog
REASON FOR USE			
Location	14.6%	11.3%	10.4%
Date of material	16.2%	41.7%	58.3%
Preference	46.5%	29.1%	14.6%
Other Reason	21.7%	15.2%	16.7%
More Than One Reason	1.0%	2.6%	.0%
TOTAL CASES	(N=198)	(N=381)	(N=48)

$P < .001$

TABLE 2

METHOD OF LEARNING COM

	Reference Department	Library Class	On My Own	Other Method	Multiple Response
USE OF THE IPF					
Often	5.6%	10.9%	10.7%	4.5%	50.0%
Sometimes	22.4%	17.4%	15.2%	16.4%	.0%
Rarely	10.5%	13.0%	18.9%	9.0%	16.7%
Never	14.7%	8.7%	14.1%	22.4%	16.7%
Unaware of IPF	46.9%	50.0%	41.1%	47.8%	.0%
Multiple Response	.0%	.0%	.0%	.0%	16.7%
TOTAL CASES	(N=143)	(N=46)	(N-375)	(N=67)	(N=6)

$P < .001$

TABLE 3

CHECK BOTH CATALOGS

	Often	Sometimes	Rarely	Never
IMPORTANCE OF ONE CATALOG				
Very Important	47.0%	53.0%	51.3%	68.9%
Somewhat Important	32.4%	36.1%	33.8%	18.0%
Not Important	20.5%	10.8%	15.0%	13.1%
TOTAL CASES	(N=336)	(N=166)	(N=80)	(N=61)

$P < .05$

Appendix A

SURVEY ON CATALOG USE*

Since 1981 the holdings in this library have been listed partially in a COM (Computer Output Microfiche) catalog and partially in the Card Catalog. In order to find out how useful the catalogs are, we would like to know how they are used and what your reactions to them are. We would appreciate it if you would take a few minutes to answer these questions. Just circle the number at the beginning of your response. (Circle one number only for each question.) Thank you.

1. Which catalog do you normally use first ____
    1. Card catalog (31.4)
    2. COM catalog (59.7)
    3. Either (9.0)

2. If you use one before the other, why ____
    1. Location (12.3)
    2. Date of material (34.9)
    3. Preference (33.4)
    4. Other (specify) (17.5)

3. If you can't find what you're looking for in one catalog, do you look in the other catalog ____
    1. Often (52.0)
    2. Sometimes (26.0)
    3. Rarely (12.5)
    4. Never (9.4)

*Frequencies (Percentages) are given in parentheses after each response. Due to multiple responses, some frequencies may not add up to 100%.

4. If you go to the other catalog and can't find what you're looking for, do you ____
   1. Stop looking (14.4)
   2. Ask at the Reference Desk (65.9)
   3. Look in the In Process File (8.7)
   4. Look on the shelves (5.2)
   5. Other (specify) (3.9) ____

5. Do you use the In Process File to search for recent material ____
   1. Often (9.1)
   2. Sometimes (16.7)
   3. Rarely (15.5)
   4. Never (15.0)
   5. Did not know about the In Process File (43.4)

6. How did you learn to use the COM catalog ____
   1. Reference Librarian (22.7)
   2. Class in the library (7.2)
   3. On my own (58.6)
   4. Other (specify) (10.5) ____

7. The authors, titles and subjects are filed together in the card catalog but in the COM catalog they are separated into an author/title file and a subject file. Would you prefer the COM catalog to have ____
   1. Authors, titles and subjects filed together (18.1)
   2. Authors/titles and subjects in two files (as they are now) (34.4)
   3. Authors, titles and subjects in three files (26.1)
   4. Don't care (21.2)

The entries below are shown in two orders:

ORDER A. The following items are in strict alphabetical order.	ORDER B. The following items are grouped. First come people's names, then London as a place, then London used as part of a title or organization.
London Association of Accountants.	London, Kurt, 1899-
London in the nineteenth century.	London. Vera C. M.
London. Institute of Marketing	London. Institute of Marketing.
London, Kurt, 1899-	London. Tate Gallery.
London School of Economics.	London Association of Accountants.
London. Tate Gallery	London in the nineteen century.
London, Vera C. M.	London School of Economics.

8. Do you know which way they are filed in the card catalog ____
   1. Order A (34.0)
   2. Order B (15.9)
   3. Don't know (50.2)

9. Do you know which way they are filed in the COM catalog ____
   1. Order A (20.6)
   2. Order B (19.8)
   3. Don't know (59.4)

10. Do you use "See" references in either catalog (e.g. Twain, Mark SEE Clemens, Samuel Langhorne) ____
    1. Often (43.7)
    2. Sometimes (40.6)
    3. Rarely (9.2)
    4. Never (6.3)

11. Do you use the "See also" references in the COM catalog (e.g. Aeronautics SEE ALSO Flight) ____
    1. Often (35.7)
    2. Sometimes (42.8)
    3. Rarely (11.8)
    4. Never (9.6)

12. Do you look things up by author ____
    1. Often (48.4)
    2. Sometimes (39.6)
    3. Rarely (11.7)
    4. Never (.3)

13. Do you look things up by title ____
    1. Often (43.6)
    2. Sometimes (45.0)
    3. Rarely (10.8)
    4. Never (.6)

14. Do you look things up by subject ____
    1. Often (62.8)
    2. Sometimes (26.7)
    3. Rarely (8.7)
    4. Never (1.9)

15. Do you look things up by series (e.g. AMA bibliography series) ____
    1. Often (4.5)
    2. Sometimes (18.0)
    3. Rarely (48.8)
    4. Never (28.5)

16. Do you use subject and author information listed at the bottom of the catalog record ____
    1. Often (16.2)
    2. Sometimes (41.4)
    3. Rarely (25.6)
    4. Never (6.6)
    5. Did not know it was there (10.2)

17. Do you use the "Continues" or "Continued by" notes which are in some records (e.g. Continues: Research in sociology, or Continued by: Knowledge and society) ____
    1. Often (6.9)
    2. Sometimes (24.2)
    3. Rarely (28.7)
    4. Never (12.8)
    5. Did not know they were there (27.5)

18. Do you use information indicating which volumes are owned by the library (on holdings cards in the card catalog or following the call number in the COM) ____
    1. Often (19.3)
    2. Sometimes (28.3)
    3. Rarely (16.8)
    4. Never (10.6)
    5. Did not know it was there (25.2)

19. Is the COM catalog issued often enough to show recent acquisitions for which you have searched ____
    1. Yes (36.1)
    2. No (14.3)
    3. Don't know (49.6)

20. Which catalog do you find faster to use ____
    1. Card catalog (27.6)
    2. COM catalog (65.0)
    3. Neither (7.3)

21. If one is faster, why ____
    1. Familiarity (37.6)
    2. Readability (27.0)
    3. Other (specify) (31.6)________________________

22. Which catalog do you find easier to use ______
    1. Card catalog (30.9)
    2. COM catalog (63.2)
    3. Neither (5.7)

23. If one is easier, why ______
    1. Familiarity (40.1)
    2. Readability (28.2)
    3. Other (specify) (28.9) ______________________________

24. Which statement best characterizes your understanding of the catalogs at GSU ______
    1. The card catalog and the COM catalog duplicate each other (6.6)
    2. The card catalog covers items added to the collection through 1974 and the COM catalog covers items added to the collection beginning in 1975 (65.7)
    3. The two catalogs are mutually exclusive files with a few overlaps (9.6)
    4. Don't know (17.1)

25. How important is it to you that all materials be listed in one catalog ______
    1. Very important (51.2)
    2. Somewhat important (32.1)
    3. Not important (16.6)

26. Status ______
    1. Undergraduate (38.7)
    2. Graduate (49.1)
    3. Faculty (4.6)
    4. Staff (1.4)
    5. Other (specify) (6.2) ______________________________

27. Age ______
    1. 20 or under (8.7)
    2. 21-30 (53.6)
    3. 31-40 (27.2)
    4. 41-50 (7.0)
    5. Over 50 (3.6)

28. With which college are you affiliated ______
    1. College of Arts and Sciences (34.7)
    2. College of Education (21.1)
    3. College of Health Sciences (4.3)
    4. College of Business Administration (30.7)
    5. Other (specify) (9.1) ______________________________

29. If you have any additional comments or suggestions please use the back of this page. Thanks again!

THE LIBRARY'S STATUS IN UNDERGRADUATE INSTRUCTION: "FAR FROM THE HEART OF THINGS"

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Abstract. This paper reviews the history of libraries in higher education and concludes that the library never has been the "heart" of undergraduate instruction. Early American colleges purposely kept the library on the periphery. The research universities brought tremendous growth to library collections but changed little the patterns of undergraduate library use. The library's status today: "necessary but ancillary to the main business of the institution." To improve that status, the library must develop not only a closer identification with the faculty and instructional program, but also a stronger relationship with the administration.

Keywords and Phrases.
"Bibliographic instruction"
"Heart of the college or university"
"Higher education" or "Education, Higher"
"Libraries--Instruction in use"
"Library-College"
"Library use studies"
"Undergraduate education" or "Education, Undergraduate"

INTRODUCTION

One of the most time-honored concepts in American higher education is that the library is the "heart" of the college or university. Ever since Carlyle made his famous statement in 1840 that "the true university of these days is a collection of books,"[1] educators have been fond of referring to the library in rather idealistic terms which suggest that the library either is, or is about to become, the "heart" of the institution.[2] In questioning whether this concept represents myth or reality, consideration must be given to the fact that institutions of higher education in general perform three functions: instruction, research, and public service. Thus, does this concept imply that the library is the "heart" of everything these institutions do? Or, is it central to one, or perhaps two, of these functions? On the one hand, there is no doubt that the library is central to the research function of many large universities. On the other hand, some public services of colleges and universities have nothing whatsoever to do with the library. This paper, then, will address the question of whether or not the library is the "heart" of the instruction, or teaching/learning, function, particularly on the undergraduate level.

The paper will begin by exploring pertinent library literature and literature of higher education and will, as a result, emphasize two significant points. First, it will demonstrate that throughout the history of higher education the library's role in undergraduate instruction has been "far from the heart of things." Second, and perhaps more important, it will maintain that the basic reason this has been true is that the very idea of the library as the "heart" is contrary to the nature of undergraduate education as developed in America. Next, the paper will attempt to describe the current status, or "reality," of the library in undergraduate instruction. Finally, it will conclude with suggestions regarding how that status might be improved.

A REVIEW OF THE LITERATURE

Evidence from History

A study of the history of higher education reveals that the library in reality never has been at the heart of the teaching/learning process. Beginning with the twelfth century university and the great lecturer Abelard, the chief methods of instruction have been the lecture and class recitation. Carlyle and others in the nineteenth century felt that the abundant availability of books would render the lecture obsolete. However, as everyone knows, the lecture has persisted, although now supplemented by textbooks, paperbacks, class-distributed materials, reserve reading, and occasional library usage.

This phenomenon is not by accident. Colleges traditionally have been extremely reluctant to part with the past in both curriculum and methodology. The Yale Faculty Report of 1828 is an important landmark in this study. At a time when a few colleges were experimenting with educational reform in an attempt to break away from the old classical liberal arts education, the Yale Report put an end to such experimentation and preserved the old order for another half-century. Rudolph described this situation as follows:

> The threat to the old order was recognized and squarely met, and the reformers were so successfully routed that for almost fifty years the American college was necessarily put beyond the sympathy and understanding of the American people. Stagnation rather than dynamism became the order of the day.[3]

Within this famous Yale Faculty Report was a statement on libraries which for the most part has been overlooked. That statement defended the use of textbooks and recitations over an arrangement which would send students into the library where they could be exposed to original sources and conflicting authorities. Why? Because of a fear that "diversity of statement" in such sources "will furnish the student with an apology for want of exactness" in answers.[4]

Thus, the lack of emphasis on libraries in early American colleges was by design. No wonder, then, that college libraries throughout most of the nineteenth century were extremely small and largely unused. As late as the Civil War it was common for libraries to be open only a few hours per week, with limits placed on their usage, such as: "Freshmen were permitted to withdraw only one book at a time, sophomores and juniors two, and seniors three."[5] In some institutions, libraries owned by students in their literary societies were larger, and covered more subjects, than the main college library.[6]

Academic libraries in America began to grow following the birth of the research university in the last quarter of the nineteenth century, and in the twentieth century university and research libraries experienced tremendous growth. Yet, the collections of most undergraduate libraries remained very small until well into the middle of the twentieth century,[7] due in part to the fact that as late as 1934 the major college accrediting associations suggested as a minimum requirement for college library collections the figure of only 8,000 volumes.[8] Later, as these associations revised upward their requirements, many colleges enlarged and improved their collections. However, as the following paragraphs indicate, this growth has not produced any major changes in the way libraries are used in undergraduate teaching and learning.

Evidence from Library Use Studies

For the past forty or more years, beginning in 1940 with Branscomb's Teaching with Books, the literature has been saturated with studies which show that undergraduate students typically make little use of college libraries. Branscomb, for example, reported not only a low per capita circulation of library materials, but also that a small percentage of the students accounted for most of the library usage.[9] A study by Knapp in the 1950s revealed that less than one-third of the courses in an institution generated over ninety percent of the library's circulation.[10] In the 1970s Lubans[11] and Naylor[12] found that a majority of faculty members did not expect students to use the library but relied instead on textbooks and class-distributed materials. More recent studies by Benson[13] and Hardesty[14] indicated that, in spite of the tremendous growth of library collections in the forty years since Branscomb, the rate of library usage among undergraduates has not changed substantially. Whitlatch, as recently as 1983, confirmed the above facts and predicted that the current trend away from the liberal arts to career-oriented and professional curricula will likely cause even lower library usage in the future.[15]

The Failure of Efforts to Make the Library the Center

The past half-century has witnessed a number of individuals and movements committed to making the library more central in the teaching/learning enterprise. Without going into great detail, a few examples of this activity are listed here. Beginning in 1933, B. Lamar Johnson wrote and spoke widely about a new library program at Stephens College with the objectives of (1) making the library the center of the instructional program, (2) guiding and encouraging students in recreational reading, and (3) teaching students how to use books effectively.[16] In a famous address first delivered in 1934 at the Chicago Century of Progress Exposition, Louis Shores proposed the "Library Arts College," in which the barriers between library and classroom are eliminated and the positions of librarian and professor combined. He mentioned several innovations which already were making extensive use of library resources, such as honors reading at Swarthmore College and autonomous courses at Antioch.[17] Branscomb's Teaching with Books, published in 1940, presented an excellent rationale for integrating the library more closely with the curriculum.[18]

In 1960-62 Patricia Knapp conducted a project at Monteith College of Wayne State University designed "to stimulate and guide students in developing sophisticated understanding of the library and increasing competence in its use." To achieve this end, it proposed "to provide students with experiences which are functionally related to their course work," and to set up "a social structure in which librarians would work with teaching faculty in developing a curriculum in which student use of the library was an integral part." The project and its results were extensively reported in the literature.[19]

In the mid-1960s a group of librarians and other educators who felt that education was moving too slowly in integrating the library with the classroom held a series of meetings to explore a concept which came to be known as the "Library-College."[20] It was based in part on Shores' "Library Arts College," and taken to its ultimate goal it would merge classroom and library, teachers and librarians, in a way that would revolutionize teaching and learning.

In addition, there are examples of bibliographic instruction programs in a number of institutions which have resulted in making the library more useful in undergraduate instruction. Probably the best-known example is the Earlham College program, which has been widely reported for over a decade.[21]

Finally, Sangamon State University is an example of a newer institution, founded in the late 1960s, with an organizational structure which placed the library at the center of the instructional program from the beginning. With no traditions to overcome, the library was the first building on campus, librarians were made bona fide faculty members sitting on all faculty committees, and efforts were made to integrate the library with the classroom.[22]

However, these efforts and programs of the past fifty years have had little effect in changing the role and status of libraries in undergraduate education. In fact, many of them failed to a large extent. Knapp wrote of the difficulties in implementing the Monteith project and the fact that librarians in the project never were truly accepted as peers by other faculty members.[23] The Library-College movement attracted a sizeable number of followers for a time, but eventually it was rejected by most librarians and other educators as being too impractical--leading one librarian to write in 1970 that the movement was "dying of old age at thirty."[24] In spite of the successes of the bibliographic instruction program at Earlham College and its wide publicity, few if any institutions have been able to duplicate Librarian Evan Farber's efforts. Robert Spencer, former president of Sangamon State University, speaking at the American Library Association's San Francisco Conference in 1981, described some of the failures of library integration in an institution which was organized with the library at the center:

> Faculty, it turns out, simply do not use their own library to any great extent as an aid in teaching. . . . A recent informal survey by Sangamon's own library faculty showed that while 41 percent of the teaching faculty are responsive to the library's mission, . . . only a disappointing 11 percent actually drive their students to use the library with a vigor and thoroughness which makes the library a full partner in the teaching endeavor. . . . On the other hand, the students of the 41 percent of the faculty who were sympathetic and proud of the library's mission have only an occasional contact in use of library resources.[25]

Spencer concluded that as poor as these figures seem to be, "they are from a school with an unusual commitment to library literacy that has probably a better record than many of our sister institutions" in this regard.

REASONS FOR THE LIBRARY'S LACK OF CENTRALITY IN INSTRUCTION

If undergraduate students continue to make little use of libraries in spite of the larger and stronger collections available today, and in spite of efforts to make the library more central in the teaching/learning enterprise, the natural reaction is to question why this is the case.

The Nature of Undergraduate Education in America

The basic reason for this phenomenon seems to be the very nature of undergraduate education in America, which, of course, is an outgrowth of the liberal arts colleges which were founded in great numbers during the early centuries of American history. Such colleges had no counterparts in Europe, where liberal or general education was the responsibility of secondary schools while the universities were committed to the advancement of scholarly learning and education for the professions. Reference has already been made to the nature of these colleges and their reluctance to part with the curriculum and teaching methodology of the past.

The American university came later, in the last quarter of the nineteenth century, as the result of the importation of German research methods, coupled with the land-grant university movement. With few exceptions--notably Johns Hopkins University and the University of Chicago--most older American universities came into being on the ground of an underlying college. Newer universities imitated the older ones. Thus, the college became an intermediate rather than a terminal link in the higher education system. Under the terms "undergraduate" and "graduate," college and university were linked together as subdivisions of a complex whole. Thorstein Veblen was the first educator to call attention to the disparity of this arrangement. He wrote:

> Whether a college lives by itself as an independent establishment on a foundation of its own, or is in point of legal formality a subdivision of the university establishment, it takes its place in the educational scheme as senior member of the secondary school system, and it bears no peculiarly close relation to the university as a seat of learning.[26]

Veblen was harsh in his criticism of undergraduate or general education. He called it "preliminary training" and suggested that its methodology amounted to "task work" which can be reduced to units of time and volume. Later, Robert Hutchins reiterated this criticism by referring to undergraduate education as "partly high school, partly university, partly general, partly special."[27] The main point of these educators was that the mingling of college and university produces, in general, a weakening of the university, bringing it down to the college level. Veblen argued that:

> the outcome in nearly all cases . . . is the general insinuation of undergraduate methods and standards in the graduate school, until what is nominally university work settles down, in effect, into . . . an extension of the undergraduate curriculum.[28]

Despite these criticisms, the mingling of college and university has continued, and the library has not been immune to the effects described by Veblen. On the one hand, university methods of library research have not filtered down to the undergraduate level to any great extent, and undergraduate patterns of library use have changed little. On the other hand, it is possible that the reverse has occurred and undergraduate use patterns have risen to the graduate level. While most library use studies have dealt with undergraduate students, there have been a few references to graduate student usage which have not been very complimentary. For example, a Master's degree study at Catholic University of America revealed that students working on advanced degrees in that university knew very little about the library and what it could do for them.[29] Robert Spencer, in his aforementioned address at the 1981 American Library Association Conference, made reference to his knowledge of a situation where "about forty percent of Master's degree candidates in a given year in a middle-size state university had not been library patrons in the academic year preceding the award of their degrees."[30]

Thus, the basic reason for the lack of centrality of the library in undergraduate instruction is that much of the curriculum (general education) and teaching methodology (lecture/recitation, supplemented by textbooks and occasional other resources) simply do not make heavy demands on the library.

The Emphasis on Career Education

A related reason for the library's lack of centrality in undergraduate education is that undergraduate students increasingly are viewing college education as job preparation, or as Hutchins described it is 1936, "training"for a career or profession. Hutchins suggested that because of the trend toward training, "the pursuit of knowledge for its own sake is being rapidly obscurred in universities and may soon be extinguished," and that "soon everybody in a university will be there for the purpose of being trained for something."[31] His prediction has largely been fulfilled, especially since the advent of the mass education movement following World War II. The implication for libraries is that, if students are in college to train for a career, they will be interested in pursuing only those courses and requirements which contribute to that training. Since few occupations have "library knowledge" as a prerequisite, libraries do not have high priority in the educational pursuits of most undergraduate students.

THE CURRENT STATUS OR "REALITY" OF THE LIBRARY IN UNDERGRADUATE INSTRUCTION

Since the library is not, nor has it ever been, the "heart" of undergraduate instruction, just what is its status? Patricia Knapp answered this question probably as well as anyone. In 1958 she made a sociological study of the college library and found a parallel between the college setting and that of a hospital. She pointed out that the library, like the nursing and pharmacy departments of a hospital, is a necessary entity; yet, it is ancillary to the main business of the parent institution. She concluded that "as in the hospital the key relationship is that between doctor and patient, the key relationship in the college is between teacher and student."[32] Thus, students who use libraries are those whose teachers require it. Obviously, then, the library is more important to some students than to others, and to some institutions than to others. Students enrolled in the scholarly, literature-based disciplines, as well as institutions which emphasize such studies, are more likely to find the library important.

Robert Spencer, however, believes that academic libraries are rapidly becoming minority institutions on campus and are facing increasing difficulties because of the trend away from such scholarly disciplines. Furthermore, he points out that the memory-storage capacity of computers and the resulting access to data by way of remote terminals means that students will be able to obtain information without even going to the library. He concludes as follows:

> Libraries are or have become minority institutions on campus. They serve a minority of faculty and a minority of students, are vulnerable to budgetary discrimination, and are little understood. On the basis of supply and demand, they can hardly be justified at all. . . . Add low usage to low internal visibility, and the budget and enrollment picture, and you have a venerable campus institution vulnerable to further decline.[33]

Based on these two descriptions of the library's status, the library is, at best, a "necessary entity, yet ancillary to the main business of the parent institution." At worst, it is a "minority institution on campus . . . vulnerable to further decline."

CONCLUSIONS

The first conclusion of this paper is that the library cannot expect to become the "heart" of undergraduate instruction unless there is a complete revolution in the teaching/learning process. The Library-College movement correctly identified this problem as one of educational philosophy, and it proposed solutions which meant radical change in the methodology of teaching and learning. Few people, including librarians, were willing to change that much, and the higher education establishment has demonstrated its reluctance to change on many occasions. It is unrealistic, therefore, to continue to refer to the library as the "heart" of the instructional program.

This conclusion becomes increasingly important during times of budgetary constraint and competition for higher education funds. "The question must be raised whether we need these large libraries, if present teaching methods continue," wrote Branscomb in 1940.[34] Now, over forty years later, that question may finally be demanding an answer, and the answer librarians provide must be better than the old stereotyped expression that "the library is the heart of the institution." The future will demand evidence, not clichés.

Closer Identification with the Faculty

A second conclusion is that, if the library is to strengthen its position on campus and improve its status in the instructional program, librarians must be more closely identified with the faculty, since, as Knapp pointed out, the key relationship on campus is that between teachers and students. This is the beginning point of a more effective library program. Such identification must be genuine, and not the superficial type which comes by granting formal faculty status to librarians. Librarians, therefore, must not only have similar qualifications as the faculty, but they also must do similar things, such as teaching, publishing, attending professional meetings, and in general keeping abreast of faculty concerns. Warren J. Haas of the Council on Library Resources made this same point during a panel discussion at the 1983 Los Angeles Conference of the American Library Association. He suggested that if he were to have the opportunity of staffing a new university library with, say, 100 professional staff members, at least 65 of them would have graduate training in subject disciplines and would be expected to remain active in those disciplines. Another sizeable number would have expertise in computers and automation. Not more than 10 of the 100 would be librarians in the traditional sense.[35]

Obviously, most libraries do not have the luxury of beginning afresh with new personnel. Therefore, present librarians must find ways of building closer working relationships with the faculty. It is possible that the regional accreditation associations can play a role in this area, just as they have been influential in requiring college libraries to build their collections and improve their services. A hopeful sign in this regard has been given by proposed new standards of the Southern Association of Colleges and Schools, which currently are under consideration by that Association. The proposal includes statements on the academic library which emphasize the provision of information services for the library user, and the responsibility shared by both librarians and faculty members in providing these services. For example:

> The library must provide students with opportunities to learn how to access information in a variety of formats so that they can continue life-long learning. In order to insure that students learn the application of library skills to the solution of particular problems, librarians must work in close cooperation with the teaching faculty in assisting students to use resource materials effectively.[36]

If approved, imagine the possible impact of a standard which says that librarians and faculty members must work together! When implemented over the years through the accreditation process, such a requirement could have a positive effect on how libraries are used in teaching and learning. Hopefully, if other regional accreditation associations were to follow this example, beneficial results could be realized nationally in the future.

Stronger Relationships with the Administration

Finally, it should go without saying that the library must develop and maintain strong relationships with the college or university administration if it wishes to be in the mainstream of campus activities. The library director should maintain close ties with the chief academic officers and the president, not only for budgetary and fiscal reasons, but for academic reasons as well. While the beginning point for improved library status is a close identification with the faculty, still it is frequently true that change can be effected more readily through the administration. For example, if the library hopes to adapt to the current information revolution and make available information resources regardless of format, strong administrative support will be required.

Furthermore, Clark Kerr recently argued that academic reforms often come from the administration, rather than the faculty:

> Faculty members are concerned primarily with what goes on in their own departments. They do not know the totality of the campus. . . . it is the president who has the total view of the curriculum. . . . Curricular changes of merit usually come from presidential leadership.[37]

One of the best examples of the effect the president can have regarding the library's status in the academic program is Sangamon State University, already cited above, where the library was made an integral part of the instructional program after the president had become familiar with the work of Patricia Knapp at Knox and Monteith Colleges.

The realization that the library is not the "heart" of undergraduate instruction should make it clear that librarians must continue their efforts to convince both faculty and administration of the role the library can, and should, play in teaching and learning.

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LEGAL REFERENCE SOURCES AND UNDERGRAUDATE LIBRARY INSTRUCTION IN THE SOCIAL SCIENCES

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Abstract. This paper urges recognition of the usefulness of legal reference materials for undergraduate students interested in a wide range of contemporary research topics. It eschews traditional legal reference concepts in favor of a non-technical description of the nature of legal bibliography and its potential as a source of social science information. Suggestions on how the reference or instruction librarian can introduce and explain these materials to the average student are highlighted.

Keywords and Phrases. Law; Legal Research; Library Instruction; Social Sciences; Undergraduate.

WHY LEGAL RESOURCES?

I am not writing as either a law librarian or a lawyer, neither of which I am. In keeping with the theme of this conference I hope to explore--and hopefully--explode, a myth: that law books have many necessary places in both the academic world and the "real world," but that those places do not include the hands of the average undergraduate student.

This paper is basically a plea to you as librarians to introduce your undergraduates to legal resources, for two reasons:

First: no matter what librarians and teaching faculty do, no matter how extreme our joint boredom, no matter how tattered the pages of certain books and journals from repeated use, we cannot stop undergraduates from being interested in topics like abortion, death penalty, gun control and euthanasia. The KF section of your reference stacks contains some first class, probably untapped, information sources on these topics. Indeed, in our litigious society, almost any subject of current social interest can be researched in the legal literature. I am thinking about topics commonly used in courses in history, government, sociology, philosophy, communications, and just plain English composition; topics such as Rights of adoptees; Rights of journalists to protect sources; Rights of media to be present at trails; School prayer; The separation of church and state which will increasingly come to the fore with debates on school vouchers, as well as the whole range of topics involved with women's rights and minority rights.

By introducing legal resources to students researching such areas as these, we can make our job more interesting, develop a cheering section of professors who will be reading original and interesting papers, and not least, broaden students' perspective by introducing them to a whole new world of information sources.

The second reason for introducing this material to your students is that they will enjoy using it. On this point I can only report to you on my own experience. John Jay College, although a specialized school in that all students must major in an area related to criminal justice, is part of the City University of New York. Our students, who eventually pursue many career paths, are drawn from all over the city, are overwhelmingly of minority, working class backgrounds and come to us with the type of poor reading and study skills which are usual in such cases. I have repeatedly seen these students, after an initial feeling of shock, painstakingly pour over Supreme Court decisions, law reports, and legal encyclopedias, with concentration and enjoyment. They enjoy the challenge because the volumes are clearly recognizable to them as part of the real world--the world of important and significant people (including Perry Mason), and not just college versions of the text books which they struggled to read in their childhood and adolescence.

NEED FOR LIBRARY INSTRUCTION

My one caveat is this: If students are to benefit from the information in the law collection, they must be instructed in the nature of legal bibliography and its use. Neither they nor you need all the expertise of a lawyer, a para-legal or a law librarian. But students need to approach those miles of matched bindings with some feeling that they are not going to either drown or feel humiliated. In short, they must have some idea of what they are looking for, and where they can find it, but they need not be taught to do "legal research" as that term is understood in the legal profession or in library shcool. We want, rather, to teach them to use the legal resources for social science research.

ACCESS TO LEGAL RESOURCES

If your library doesn't have all the law sets discussed in this paper, students can probably use them in other libraries, since most communities have had to make provision for public access to legal reference materials. The pressures for such provisions obviously come from litigants and not from undergraduates but students--as citizens--certainly can make use of the materials provided. If the obvious places (local public libraries and other academic institutions) don't have what is needed, I suggest you contact the closest state or county courthouse, or ask the local bar association where to turn. Students sent to other libraries, particularly law libraries, MUST be taught how to use the tools before they go, and be alerted to the possibility of a less than warm reception, since such institutions are frequently unaccustomed to offering reference help, especially to undergraduates.

THE WORLD OF LEGAL PUBLISHING

As you know, the law which governs our country has several components: the constitution; statutes; rules and regulations which have the force of law; and judicial decisions-called case law--which interpret the other three. Since most librarians are familiar with the constitution, and the various components of statute and regulatory law, I am going to concentrate in this paper on case law--the judicial decisions which interpret the statutes and the constitution, and are of such overwhelming influence in our system of government.

The basic publications of the case law world are Reporters, which give the judges' decisions; Digests, which offer a subject approach to those decisions; and Encyclopedias, which discuss and interpret the decisions. There are two publishing behemoths who endeavor to bring this material to us: West Publishing Company, and Lawyers Co-Operative Publishing Company, (plus the GPO in a very small way).

Each of these commercial publishers has designed a system which enables the user, once having located something of interest, to move quickly from one component of the system to the others. West calls its system the "Key Number System; Lawyers Co-op calls theirs the "Total Client Service Reference System". Both systems refer users back and forth not only within the basic components, but also to many ancillary sets such as form books, treatises, and specialized encyclopedias published by the same company. Large law libraries will have complete sets from both publishers; where less than a complete law library is available, there are those who opt for West, and others argue for Lawyers Co-op. One of my strong feelings is that students are best served by having available a matched set so that they can take advantage of this vast system of cross references which each publisher has built into its system.

PROBLEMS IN CASE LAW

There are five basic questions which I think form a useful structure within which to present the components of case law to undergraduates. (See Illustration A for a sample handout used in teaching this approach to case law.)

(1) How do you read a legal citation? It is always fun to start with this because it looks so important to the uninitiated, and is so easy to explain and learn.

(2) From general reading, people frequently know the names of well known cases which they want to read. If you know the name of a case how can you find the citation?

(3) Having selected a topic known to have legal implications, how do you find discussions of that topic within the legal literature? This is probably the starting point for most students.

(4) How do you locate specific cases which are relevant to the topic you have selected?

(5) You are either given a case to read, or locate one in the process of research. How do you find discussions of specific cases?

REPORTERS

The first component of case law is the written opinion of a judge in a case which has been brought up on appeal. These opinions as you know, are published chronologically in series' of volumes called Reporters. The most far reaching judicial decisions are those of the U.S. Supreme Court, but the lower federal courts as well as the court systems of the states also generate Reporters.

DIGESTS

Judicial decisions tend to be wide ranging. Eash decision although dealing with a single case, in fact can deal with many related issues. This is particularly true when there are concurring and dissenting decisions. There may be many points of law raised, discussed, and answered within any one decision.

In order to make these many points of law easily accessable to lawyers (who are after all BUSY PEOPLE), publishers of law books (who are in business to make money from these BUSY PEOPLE), publish books called Digests.

A Digest is a glorified, elaborate index to reported decisions. In a Digest, the components of each decision are divided up, summarized, and rearranged by subject, thus giving us a subject approach to the body of case law represented by the judicial decisions covered in the particular digest.

Digests are arranged alphabetically, like encyclopedias, from 'Abandoned and Captured Property to 'Zoning' with the summaries of relevant parts of decisions arranged chronologically within each section, or in the case of larger areas of law, each sub-section or sub-sub-section. Detailed access to the Digests is provided through a subject index, generally called a word index.

*Digests then, enable us to locate specific cases relevant to our topic (number 4 on our list of case law problems.)

In addition to the subject index, Digests also have case table indexes which list every case included in the Digest. This index has two outstanding values: It gives the complete citation for the case, and is thus used, and used, and used, for those myriad times when students want to read a case and don't have the citation; in some cases it also tells under which subjects that case has been digested so that if a student has read a case and wants to read others which are related, he or she can go directly to the proper section of the Digest.

*Thus, we see the case table index of the Digest can be used to find a citation when you know only the name of the case (number 2 on our list of case law problems.)

On the federal level there are four digest sets available. West's mammoth American Digest System covers all reported American cases--state as well as federal--from 1658 to the present. Now numbering more than 350 volumes in ten series it is a set to strike terror into the heart of most undergraduates, as well as acquisitions librarians. (I suspect that it intimidates many lawyers as well.) However, where the set is available, students of American social history might really enjoy using the basic series, called the Century Edition whose fifty volumes cover reported cases from 1658 to 1896. Check out the cases listed under some of the 'hot topics' of the 18th and 19th centuries; Miscegenation; Master and Servants, and, my favorite, Scolding (which wasn't really a 'hot topic' but is instructive for students of womens' history.)

Considerably less comprehensive are two other West sets: the Federal Digest and Modern Federal Practice Digest, covering federal cases only.

Lawyers, I'm told, really need these levels of comprehensiveness; undergraduates interested in current social science topics are, I think, better served by the Digests which index only the decisions of the U.S. Supreme Court; there is one published by West and a competitor published by Lawyers Co-op. Schools which receive Supreme Court decisions could consider purchasing one of these sets without using up several years worth of reference materials budget.

ENCYCLOPEDIAS

One of the nice things about teaching students to use legal materials is that, although legal publishing has a highly structured pattern of its own, it overlaps in several ways with the basic kind of search strategy which we try and teach our students in all subjects; primary among these are the use of encyclopedias and the use of journal articles.

Legal encyclopedias can be introduced to students as a functional equivalent of any other subject or specialized encyclopedia. They are a worthwhile first step in getting an overview of a subject, or in attempting to find out enough about a topic to narrow its scope.

*Encyclopedias are an obvious answer to the problem of locating discussions of legal topics (number 3 on our list of case law problems.)

There are however, differences between legal encyclopedias and other encyclopedias which need to be explained. I don't particularly favor 'show and tell' techniques during library instruction sessions, but I dearly love to show students a few selected pages of Corpus Juris Secundum, which have four lines of text followed by ten inches of closely packed footnotes, and tell them that they need only read the four lines on top. (See Illustration B.)

Legal encyclopedias, like others, have subject indexes to the entire set; in addition they have more detailed subject indexes in each volume; but, probably most helpful are the extremely specific, analytical tables of contents, frequently with scope notes, at the beginning of each article. (See Illustration C.) Just reading through these analytical tables of contents can often help to narrow a topic. Time conscious students (and where is there a student with enough time?) should always be told that time spent with the table of contents in a legal encyclopedia is time which they don't have to waste reading material not related to their problem.

To return to those footnotes: they can be useful, even if intimidating. If a student becomes interested in a statement made in the body of the article, the footnote will give citations for the cases on which the statement is based, thus supplying another route to locating cases on a particular topic. Those who want to follow through can do so; the person desiring only the overview can pass.

West's encyclopedia is called Corpus Juris Secundum, while Lawyers Co-op's is called American Jurisprudence, 2d. West, in a familiar pattern, aims at comprehensiveness and claims that it cites all relevant state and federal cases; Am Jur on the other hand claims to be selective in its citation policy. This results in a somewhat less awe-inspiring appearance for Am Jur. Both sets, unlike encyclopedias in other subject areas, follow the usual legal pattern of updating each volume with pocket parts.

AMERICAN LAW REPORTS (ALR)

Lawyers Co-op publishes another extremely useful set which is a sort of hybrid, combining aspects of Digest, Encyclopedia and Reporter.

The American Law Reports, always called ALR, in various series and sets, reprints both federal and state cases which the publishers consider to be of outstanding significance, and includes detailed analytical articles (called annotations) discussing the significance of the case, and its relationship to other cases and the basic concepts of law involved. These articles are well written, and often narrower in scope than those in the encyclopedias; lawyers briefs are sometimes included along with the annotations.

ALR is bibliographically somewhat complex, having been published serially in six different sets, some of which overlap. Any of the standard books on legal research will be glad to give you the details; fortunately a library does not need to have all the sets to find the latest ones useful, and undergraduates don't need to understand the full bibliographic pattern in order to make use of them.

Since all ALR sets are published chronologically, the key to locating information is a series called ALR Quick Indexes, most of which provide both subject and case name access.

(If one were starting a basic legal resource collection, the utility of ALR might be one reason for choosing Lawyers Co-op publications over those of West.)

LAW REVIEWS

Students need only be told that Law Reviews are just periodicals dealing with legal topics, and that access to them is through the type of periodical indexes with which they are familiar. Indeed, the Index to Legal Periodicals, being a publication of the Wilson Company, looks just like the Readers' Guide--which can be very reassuring to students. Less familiar, because it has only been with us since 1980 is Current Law Index, which I find preferable both because it uses terminology which is closer to real English, and because it indexes a far larger number of periodicals. (An enlarged version of Current Law Index is available on-line as Legal Resources Index.) Both printed indexes to legal periodicals are in the basic subject index style, with an additional, extremely useful feature: a separate case table index which cites articles in which specific cases are highlighted.

*Thus, indexes to legal periodicals lead to discussions of specific cases, as well as discussions of general topics (numbers 3 and 5 in our list of problems.)

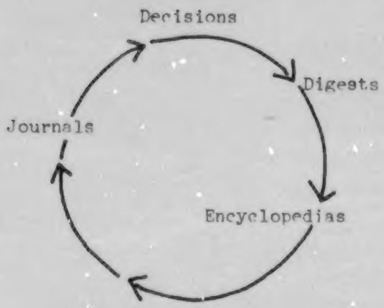
BRIEFS

There is one additional type of legal document which students might find interesting; lawyers' briefs, i.e., the documents which lawyers submit to the judges in support of their arguments. The most generally useful set of briefs is Landmark Briefs and Arguments of the Supreme Court. Available on fiche as well as in hard copy, this set includes not only the briefs, but also all supporting documents filed, and transcripts of the question and answer sessions held between the lawyers and the judges. Real primary source material here.

Summaries of selected lawyers briefs have been included in the Lawyers Co-op edition of Supreme Court decisions since 1956; some briefs are also included in ALR.

SUMMARY

For the social science student there are two basic elements of case law: the decisions themselves (i.e. what the judges said), and discussions of those decisions (i.e. what everyone else said.) This can be presented as a continuous circle which one can enter at any point in order to locate the information needed.



CONCLUSION

There are many elements in the legal bibliography spectrum which have not been discussed here: Shephards; treatistes; form books; specialized encyclopedias (would you believe a 29 volume encyclopedia limited to trial practices--actually a terrific source for students in debate classes.) It's best to remind students--as I remind you--that in taking this very simple, undergraduate social science research approach to the legal literature, we are not "telling all." What we are doing is broadening horizons and strengthening research skills by making accessible interesting and valuable, but frequently overlooked, information sources.

SOURCES DISCUSSED

U.S. Supreme Court Decisions

United States Reports. Washington, D.C.: Government Printing Office.
Decisions, 1754 to date.
Supreme Court Reporter. St. Paul, Mn.: West.
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Decisions, 1754-1956
United States Supreme Court Reports. Lawyers' Edition. Second Series. Rochester, N.Y.: Lawyers Co-operative.
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Cites cases 1754-1938.
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Cites cases 1939-1961.
West's Federal Practice Digest 2d. St. Paul, Mn.: West Publishing.
Cites cases 1961 to date.
Supreme Court Digest. St. Paul, Mn.: West Publishing.
Cites cases 1754 to date.
United States Supreme Court Digest. Lawyers' Edition. Rochester, N.Y.: Lawyers Co-operative.
Cites cases 1754 to date.

American Digest System. St. Paul, Mn.: West Publishing.
Century Edition. 50 v. Covers 1658-1896
First-Eighth Decenial Editions. 228 v. Covers 1658-1976.
West's General Digest. Fifth Series. Covers 1976 to date.

Encyclopedias

American Jurisprudence 2d. Rochester, N.Y. Lawyers Co-operative.
Corpus Juris Secundum. St. Paul, Mn.: West Publishing.
American Law Reports. ALR. Rochester, N.Y.: Lawyers Co-operative.

Periodical Indexes

Current Law Index. Menlo Park, Ca.: Information Access.
1980 to date.
Index to Legal Periodicals. New York: H.W. Wilson.
1909 to date.

Briefs

Kurland, Philip B. and Gerhard Casper, eds. Landmark Briefs and Arguments of the Supreme Court of the United States. Frederick, Md.: University Publications of America, 1978-
Cover decisions, 1793 to date.

OUTLINE OF LEGAL BIBLIOGRAPHY

I. SOURCES OF LAW

- -Constitution
- -Statutes
- -Regulations
- -Case decisions

II. STATUTE LAW	FEDERAL	NEW YORK STATE
Session laws	U.S. Statutes at Large	McKinneys Session Laws
Codes	U.S. Code U.S. Code Service	McKinneys Consolidated Laws N.Y. Consolidated Laws
III. REGULATORY LAW	Federal Register U.S. Code of Federal Regulations	Official Compilation of Codes Rules, and Regulations
IV. CASE LAW		
Reporters	U.S. Reports U.S. Supreme Court Reports, Lawyers' Edition	Appellate Division Reports N.Y. Reports N.Y. Supplement Miscellaneous Reports
	Federal Reporter Federal Reporter, 2d series Federal Supplement	
Digest	U.S. Supreme Court Digest, Lawyers' Edition Federal Practice Digest, 2d	West's N.Y. Digest, 3d. Abbott's N.Y. Digest, 2nd. Clark's Digest Annotator
Encyclopedias	American Jurisprudence Corpus Juris Secundum	N.Y. Jurisprudence.
	American Law Reports	

BASIC PROBLEMS IN CASE LAW

1. Find a case when you know the citation:

2. Find the citation if you know only the case name:

3. Find discussions about a particular subject:

4. Find cases about a particular subject:

5. Find discussions about a particular case:

Illustration A. Sample student handout to teach pattern of legal publications, and problem approach to case law. Original is typed on several pages to allow students to take notes directly on the handouts.

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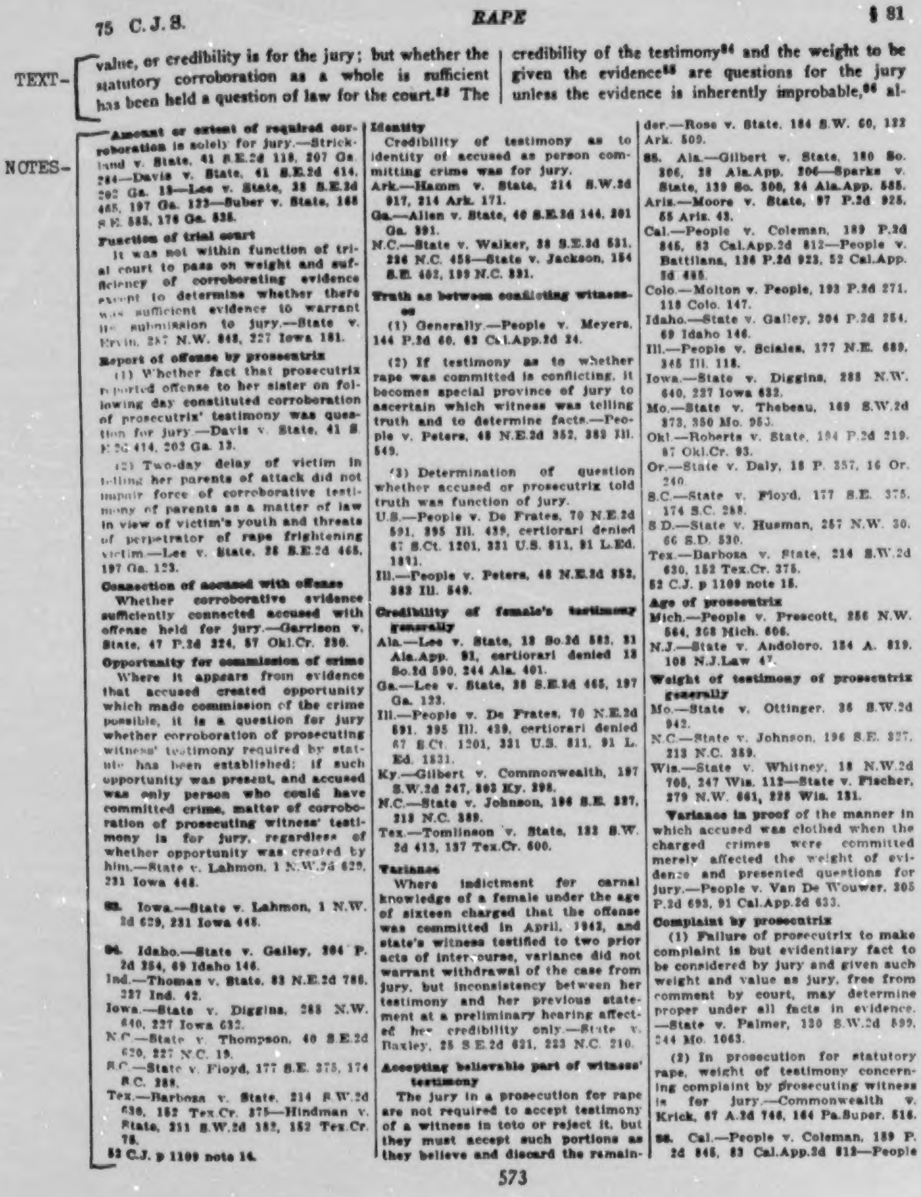

75 C.J.S. **RAPE** § 81

value, or credibility is for the jury; but whether the statutory corroboration as a whole is sufficient has been held a question of law for the court.[83] The credibility of the testimony[84] and the weight to be given the evidence[85] are questions for the jury unless the evidence is inherently improbable,[86] al-

Amount or extent of required corroboration is solely for jury.—Strickland v. State, 41 S.E.2d 118, 207 Ga. 284—Davis v. State, 41 S.E.2d 414, 202 Ga. 13—Lee v. State, 28 S.E.2d 465, 197 Ga. 123—Suber v. State, 168 S.E. 585, 176 Ga. 525.

Function of trial court

It was not within function of trial court to pass on weight and sufficiency of corroborating evidence except to determine whether there was sufficient evidence to warrant its submission to jury.—State v. Ervin, 287 N.W. 848, 227 Iowa 181.

Report of offense by prosecutrix

(1) Whether fact that prosecutrix reported offense to her sister on following day constituted corroboration of prosecutrix' testimony was question for jury.—Davis v. State, 41 S.E.2d 414, 202 Ga. 13.

(2) Two-day delay of victim in telling her parents of attack did not impair force of corroborative testimony of parents as a matter of law in view of victim's youth and threats of perpetrator of rape frightening victim.—Lee v. State, 28 S.E.2d 465, 197 Ga. 123.

Connection of accused with offense

Whether corroborative evidence sufficiently connected accused with offense held for jury.—Garrison v. State, 47 P.2d 224, 57 Okl.Cr. 230.

Opportunity for commission of crime

Where it appears from evidence that accused created opportunity which made commission of the crime possible, it is a question for jury whether corroboration of prosecuting witness' testimony required by statute has been established; if such opportunity was present, and accused was only person who could have committed crime, matter of corroboration of prosecuting witness' testimony is for jury, regardless of whether opportunity was created by him.—State v. Lahmon, 1 N.W.2d 629, 231 Iowa 448.

83. Iowa.—State v. Lahmon, 1 N.W.2d 629, 231 Iowa 448.

84. Idaho.—State v. Gailey, 204 P.2d 254, 69 Idaho 146.
Ind.—Thomas v. State, 83 N.E.2d 788, 227 Ind. 42.
Iowa.—State v. Diggins, 288 N.W. 640, 227 Iowa 632.
N.C.—State v. Thompson, 40 S.E.2d 620, 227 N.C. 19.
S.C.—State v. Floyd, 177 S.E. 375, 174 S.C. 288.
Tex.—Barboza v. State, 214 S.W.2d 630, 152 Tex.Cr. 375—Hindman v. State, 211 S.W.2d 182, 152 Tex.Cr. 78.
52 C.J. p 1109 note 14.

Identity

Credibility of testimony as to identity of accused as person committing crime was for jury.
Ark.—Hamm v. State, 214 S.W.2d 917, 214 Ark. 171.
Ga.—Allen v. State, 40 S.E.2d 144, 201 Ga. 391.
N.C.—State v. Walker, 38 S.E.2d 531, 226 N.C. 458—State v. Jackson, 154 S.E. 402, 199 N.C. 321.

Truth as between conflicting witnesses

(1) Generally.—People v. Meyers, 144 P.2d 60, 62 Cal.App.2d 24.

(2) If testimony as to whether rape was committed is conflicting, it becomes special province of jury to ascertain which witness was telling truth and to determine facts.—People v. Peters, 48 N.E.2d 352, 383 Ill. 549.

(3) Determination of question whether accused or prosecutrix told truth was function of jury.
U.S.—People v. De Frates, 70 N.E.2d 591, 395 Ill. 439, certiorari denied 67 S.Ct. 1201, 331 U.S. 811, 91 L.Ed. 1831.
Ill.—People v. Peters, 48 N.E.2d 352, 383 Ill. 549.

Credibility of female's testimony generally

Ala.—Lee v. State, 13 So.2d 583, 31 Ala.App. 91, certiorari denied 13 So.2d 590, 244 Ala. 401.
Ga.—Lee v. State, 28 S.E.2d 465, 197 Ga. 123.
Ill.—People v. De Frates, 70 N.E.2d 591, 395 Ill. 439, certiorari denied 67 S.Ct. 1201, 331 U.S. 811, 91 L.Ed. 1831.
Ky.—Gilbert v. Commonwealth, 197 S.W.2d 247, 303 Ky. 298.
N.C.—State v. Johnson, 196 S.E. 327, 213 N.C. 389.
Tex.—Tomlinson v. State, 132 S.W.2d 413, 137 Tex.Cr. 600.

Variance

Where indictment for carnal knowledge of a female under the age of sixteen charged that the offense was committed in April, 1942, and state's witness testified to two prior acts of intercourse, variance did not warrant withdrawal of the case from jury, but inconsistency between her testimony and her previous statement at a preliminary hearing affected her credibility only.—State v. Baxley, 25 S.E.2d 621, 223 N.C. 210.

Accepting believable part of witness' testimony

The jury in a prosecution for rape are not required to accept testimony of a witness in toto or reject it, but they must accept such portions as they believe and discard the remainder.—Rose v. State, 184 S.W. 60, 122 Ark. 509.

85. Ala.—Gilbert v. State, 180 So. 306, 28 Ala.App. 206—Sparks v. State, 139 So. 300, 24 Ala.App. 585.
Ariz.—Moore v. State, 97 P.2d 925, 55 Ariz. 43.
Cal.—People v. Coleman, 189 P.2d 845, 83 Cal.App.2d 812—People v. Battilana, 126 P.2d 923, 52 Cal.App.2d 685.
Colo.—Molton v. People, 193 P.2d 271, 118 Colo. 147.
Idaho.—State v. Gailey, 204 P.2d 254, 69 Idaho 146.
Ill.—People v. Scialea, 177 N.E. 689, 345 Ill. 118.
Iowa.—State v. Diggins, 288 N.W. 640, 227 Iowa 632.
Mo.—State v. Thebeau, 169 S.W.2d 373, 350 Mo. 953.
Okl.—Roberts v. State, 194 P.2d 219, 87 Okl.Cr. 93.
Or.—State v. Daly, 18 P. 357, 16 Or. 240.
S.C.—State v. Floyd, 177 S.E. 375, 174 S.C. 288.
S.D.—State v. Husman, 287 N.W. 30, 66 S.D. 530.
Tex.—Barboza v. State, 214 S.W.2d 630, 152 Tex.Cr. 375.
52 C.J. p 1109 note 15.

Age of prosecutrix

Mich.—People v. Prescott, 256 N.W. 564, 268 Mich. 606.
N.J.—State v. Andoloro, 184 A. 819, 108 N.J.Law 47.

Weight of testimony of prosecutrix generally

Mo.—State v. Ottinger, 36 S.W.2d 942.
N.C.—State v. Johnson, 196 S.E. 327, 213 N.C. 389.
Wis.—State v. Whitney, 18 N.W.2d 705, 247 Wis. 112—State v. Fischer, 279 N.W. 661, 228 Wis. 131.

Variance in proof of the manner in which accused was clothed when the charged crimes were committed merely affected the weight of evidence and presented questions for jury.—People v. Van De Wouwer, 205 P.2d 693, 91 Cal.App.2d 633.

Complaint by prosecutrix

(1) Failure of prosecutrix to make complaint is but evidentiary fact to be considered by jury and given such weight and value as jury, free from comment by court, may determine proper under all facts in evidence.—State v. Palmer, 130 S.W.2d 599, 344 Mo. 1063.

(2) In prosecution for statutory rape, weight of testimony concerning complaint by prosecuting witness is for jury.—Commonwealth v. Krick, 67 A.2d 746, 164 Pa.Super. 516.

86. Cal.—People v. Coleman, 189 P.2d 845, 83 Cal.App.2d 812—People

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Illustration B. 75 Corpus Juris Secundum 573.

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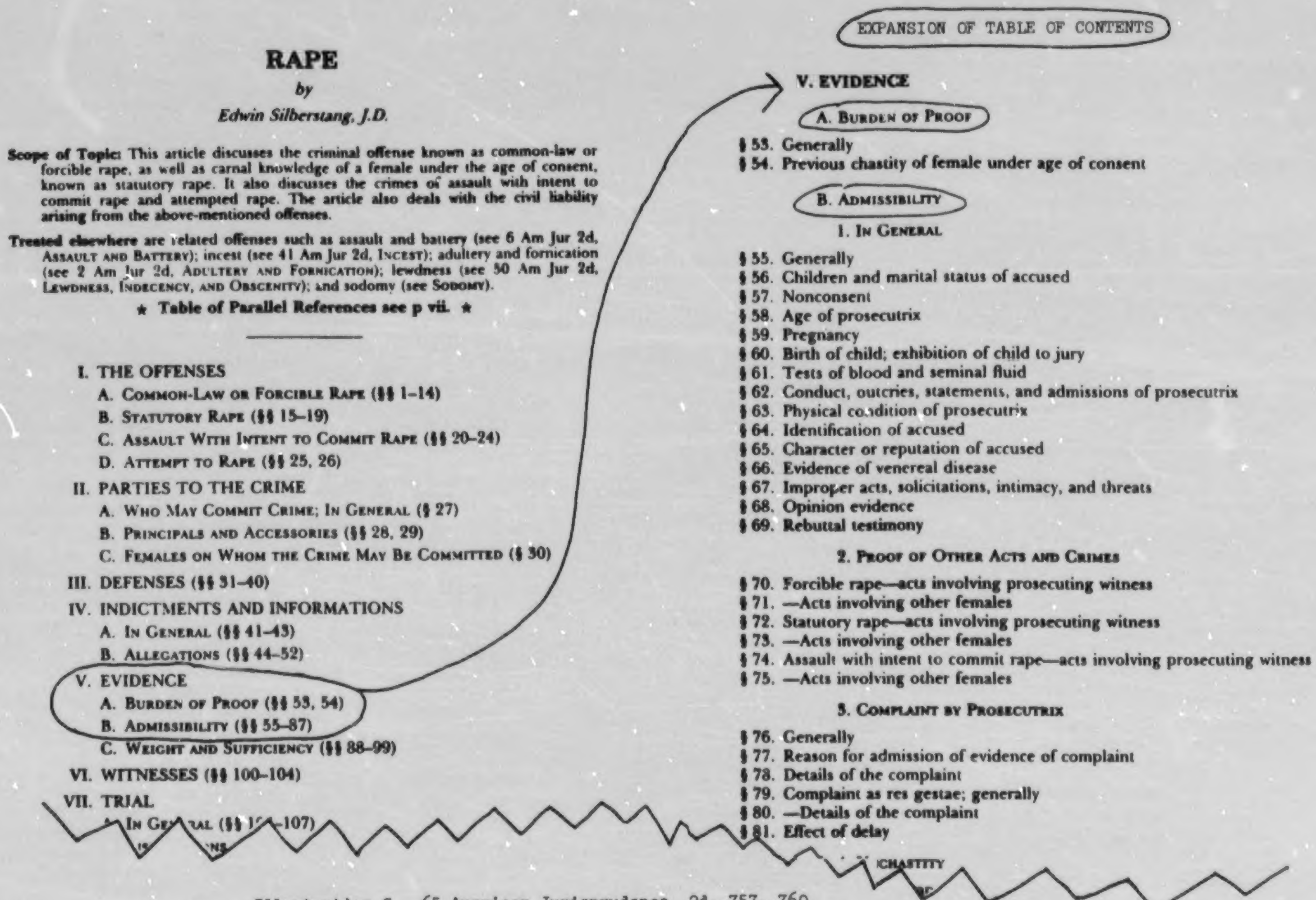

EXPANSION OF TABLE OF CONTENTS

RAPE

by

Edwin Silberstang, J.D.

Scope of Topic: This article discusses the criminal offense known as common-law or forcible rape, as well as carnal knowledge of a female under the age of consent, known as statutory rape. It also discusses the crimes of assault with intent to commit rape and attempted rape. The article also deals with the civil liability arising from the above-mentioned offenses.

Treated elsewhere are related offenses such as assault and battery (see 6 Am Jur 2d, ASSAULT AND BATTERY); incest (see 41 Am Jur 2d, INCEST); adultery and fornication (see 2 Am Jur 2d, ADULTERY AND FORNICATION); lewdness (see 50 Am Jur 2d, LEWDNESS, INDECENCY, AND OBSCENITY); and sodomy (see SODOMY).

★ Table of Parallel References see p vii. ★

I. THE OFFENSES
  - A. COMMON-LAW OR FORCIBLE RAPE (§§ 1–14)
  - B. STATUTORY RAPE (§§ 15–19)
  - C. ASSAULT WITH INTENT TO COMMIT RAPE (§§ 20–24)
  - D. ATTEMPT TO RAPE (§§ 25, 26)

II. PARTIES TO THE CRIME
  - A. WHO MAY COMMIT CRIME; IN GENERAL (§ 27)
  - B. PRINCIPALS AND ACCESSORIES (§§ 28, 29)
  - C. FEMALES ON WHOM THE CRIME MAY BE COMMITTED (§ 30)

III. DEFENSES (§§ 31–40)

IV. INDICTMENTS AND INFORMATIONS
  - A. IN GENERAL (§§ 41–43)
  - B. ALLEGATIONS (§§ 44–52)

V. EVIDENCE
  - A. BURDEN OF PROOF (§§ 53, 54)
  - B. ADMISSIBILITY (§§ 55–87)
  - C. WEIGHT AND SUFFICIENCY (§§ 88–99)

VI. WITNESSES (§§ 100–104)

VII. TRIAL
  - A. IN GENERAL (§§ 1[illegible]–107)

V. EVIDENCE

A. BURDEN OF PROOF

§ 53. Generally
§ 54. Previous chastity of female under age of consent

B. ADMISSIBILITY

1. IN GENERAL

§ 55. Generally
§ 56. Children and marital status of accused
§ 57. Nonconsent
§ 58. Age of prosecutrix
§ 59. Pregnancy
§ 60. Birth of child; exhibition of child to jury
§ 61. Tests of blood and seminal fluid
§ 62. Conduct, outcries, statements, and admissions of prosecutrix
§ 63. Physical condition of prosecutrix
§ 64. Identification of accused
§ 65. Character or reputation of accused
§ 66. Evidence of venereal disease
§ 67. Improper acts, solicitations, intimacy, and threats
§ 68. Opinion evidence
§ 69. Rebuttal testimony

2. PROOF OF OTHER ACTS AND CRIMES

§ 70. Forcible rape—acts involving prosecuting witness
§ 71. —Acts involving other females
§ 72. Statutory rape—acts involving prosecuting witness
§ 73. —Acts involving other females
§ 74. Assault with intent to commit rape—acts involving prosecuting witness
§ 75. —Acts involving other females

3. COMPLAINT BY PROSECUTRIX

§ 76. Generally
§ 77. Reason for admission of evidence of complaint
§ 78. Details of the complaint
§ 79. Complaint as res gestae; generally
§ 80. —Details of the complaint
§ 81. Effect of delay

CHASTITY

Illustration C. 65 American Jurisprudence, 2d. 757, 760.
Example of multi-level Table of Contents.

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BIBLIOGRAPHIC INSTRUCTION FOR FOREIGN STUDENTS

Molly O'Hara
Gonzaga University
Spokane, Washington

Abstract. In 1981 326,300 foreign nationals were enrolled in American colleges and universities, up from 286,340 in 1980. This number is expected to continue rising; and as sizable foreign student populations become the norm at many American schools faculty and administration concern over how best to deal with them is increasing. Lately there has been a small flurry of interest on the part of reference and instruction librarians in the relationship between the library and the foreign student that has touched on everything from variations in body language interpretation to cultural differences in learning styles. This paper discusses approaches to teaching foreign students based on the literature of bibliographic instruction and that of English as a foreign language.

Keywords and Phrases. Bibliographic instruction, Library instruction, International students, Foreign students, English as a Second Language, ESL.

Anyone who has glanced at the Chronicle of Higher Education lately is aware of the continuing increase in the number of foreign nationals attending American colleges and universities. A few statistics for the uninformed: during the 1981/82 academic year a total of 326,300 foreign students were enrolled in all fields of study, up from 286,340 the previous year; this figure, which accounts for 2.7% of all students on U.S. campuses, is expected by experts to increase to 10% by 1990, giving American educators a total of somewhat over 1 million foreign students with whom to cope.

Unfortunately, the coping mechanisms, and even acknowledgment of the need for them lags far behind the numbers of students in growth. To date it has amounted to such pat phrases as "before we teach foreign students there is a great deal we need to learn." Many in academia are quick to state that foreign students bring with them special challenges; but few have defined those challenges in concrete terms much less offered real suggestions for dealing with them. The literature of higher education is full of articles of, what I call the "security blanket" and the "cultural handicap" types. Security blanket rhetoric tells us that what foreign students need is warm and friendly understanding, and an occasional invitation to dinner. It is usually laden with phrases such as "cultural exchange," "shyness and inhibition," and "problems with language/dress/ loneliness." All of us who share a concern for the foreign students with whom we work have read such articles. They are warm and saccharine, full of good will and motherliness, but they tell us little about how to cope with the objective academic challenges of this aspect of our work. The other type, the "cultural handicap" article discusses in great detail sociological research into the differences between cultures in an attempt explain away all of the behavioural and academic problems we encounter: Japanese cannot be expected to think creatively because their society has trained them to learn by rote memorization and parroting. Arabs cannot understand the concept of plagerism because it does not exist in their culture. Such articles, while they aid us in understanding why some problems occur, do not help us help our students overcome them; they merely label the foreign students "culturally handicapped" with the resulting presumption that they are to be treated differently than their American peers. We must remember that most of our foreign students are not here to become Americans, but to improve their lives as citizens of their native countries. While they do not intend to become Americans, they do need to effectively exploit our educational system; and if that exploitation is properly handled it may result in beneficial exchange between individuals, countries, and cultures.

Often coupled with both of these types of articles is advice to speak simply and slowly, assuming that the foreign student will have language difficulties, and will not be able to understand ordinary spoken English. Unfortunately, this can results in foreign students adjusting even more slowly to spoken English, since Americans do not use it in conversation with them. The "cultural handicap" mentality saddles students with the real handicap of being assumed incapable of sufficient adjustment to American society and education. It seems an odd idea in conjunction with the increasing openness of our system of higher education to the rest of the world: if we doubt that foreign students can cope with our system, why are we promoting it to them?

So far I have spoken in the most general terms. Let me now focus more specifically on foreign students in our libraries. As their numbers increase librarians are being forced to take long, hard looks at how well our traditional services are meeting the needs of this growing population on American campuses. Questions that are being asked at the moment include "are our loan periods long enough for students who may comprehend written English at half the normal speed?" "do we need to have more copies of a particular item on reserve for the same reason?" "how well do foreign students understand the reasons behind such regulations as overdue fines and copyright restrictions?" and "do foreign students know that reference librarians are available to assist them with difficult materials?" Each library must deal with these and other issues in light of it's own user population and other characteristics. My purpose here is not to tell any of you what you ought to do. Instead I want to speak about a single library service, bibliographic instruction, and the implications for both librarian and student when foreign students are involved.

In order to do this I want to discuss both bibliographic instruction and English as a second language. Both areas have received substantial attention in recent years, and there are parallels between them that can be useful to examine. Both contain a wealth of information on teaching theories (lab work, classroom work, independent study, workbooks, teamwork) and their relative merits. There are also numerous articles dealing with how to teach specifics (past participle, footnotes, the paragraph, argumentation) based on past successful experiences of ESL teachers. Like ESL, bibliographic instruction is concerned with several layers of teaching at the same time: methodology, theory, process, and content among them.

Before one first attempts to teach anything it must be determined what is going to be taught, and why. Just as ESL instructors endlessly debate in their literature whether to teach survival English or the King's English, rules of grammar or vocabulary, study skills or notetaking, BI instructors debate the relative merits of teaching tools or concepts, research strategies or theories of information, orientation or research. I do not intend to tell you which to do, the literature is full of advice on when to do which, and we can all read it at our leisure or time of need. The "why" of teaching will have more of an impact on what is taught than anything else. Ask yourself: are you trying to make it easier to deal with foreign students at the reference desk, do you want to help them with a specific assignment or course, is it your purpose to introduce them to the mysterious ways of American libraries in general, or to your own building, do you want to teach them how to use Chemical Abstracts, or methods of research in the chemical sciences. Your choice of what to teach should stem from your answers to questions like these.

Remember that in dealing with foreign students you can make few or no assumptions about prior knowledge either of library jargon, arrangement of bookstacks, the idea of call numbers, the nature or use of reference materials, or a whole host of other culturally-based aspects of American higher education and libraries. If you decide that you need to teach how to find books on the shelf you may find it necessary to explain the logical arrangement of bookstacks (including the definition of "stack") from left to right, in columns from top to bottom. Many foreign students are accustommed to reading and ordering items in a diferent sequence. Explaining such a concept can have far-reaching implications for students, and you may find yourself caught up in a discussion of how house numbers are arranged, or groceries in a food store, or even chronological lists of coming attractions at the local movie theatre. All such arrangements are based on the logic of our written language and may not be immediately evident to people not raised in a culture of that language. All this may have to preceed the actual explanation of using call numbers to find books on the shelf. You are likely to find yourself bombarded with questions such as "call number, why do you call it that when there are letters in it?" and "how many lines of the call number are really essential?" A good rule of thumb in planning library instruction for foreign students is to allow twice as long for any particular item of instruction as it takes to do the same thing for American students. In a class I recently taught on periodical indexes an explanation of the concept of "volume" (in relation to books, periodicals, sound, chemistry, monographic sets) took up about half the time I had allotted to explaining Readers' Guide.

The actual practice of avoiding cultural assumptions is difficult to gauge. It will depend of the makeup of any particular group of foreign students. Europeans do not need to be taught how to "read" bookstacks from left to right, or the idea of alphabetizing word-by-word as opposed to letter by letter. Japanese and other oriental groups do not have a cultural block to understanding plagerism. What you teach and how you teach it will depend on the group with which you are dealing. Most important is your openness to whatever special needs do surface, and your ability to change, slow down, or detour in midstream in response to the immediate feedback from your students.

Any librarian who has dealt with foreign students in bibliographic instruction, particularly in a special class devoted to their needs, can attest to their determination to understand the topic at hand. They can be very quick to question you about a strange word or expression, and unashamedly demand clarification of a poorly explained concept. Oftentimes, because of the language barrier, they operate on a more intense plane than we are used to in dealing with American students; they cannot assume that fuzzy meanings will become clear in context, or that they can later ask clarification of a fellow student. And they are loath to assume anything you say is not important or noteworthy. If you use slang you must be prepared to explain it. (What is a white elephant and why is a card catalog one? It once took me 10 minutes to deal with that one. It was an interesting lesson in American values and computer interface in libraries before we even got to the card catalog.) It is equally important to enter a BI class for foreign students prepared to improvise as it is to have a carefully planned lesson from which to start.

As for the lesson itself, like all good instruction it should be based on a goal or goals to which measurable objectives are attached. You should be able to tell your students from the outset what they will learn, and why it is important and useful to them. Do not try to do too much in the allotted time period. If you happen to finish early you can use the old preacher's technique: after you've told them what you are going to tell them, and told them, then you tell them what you told them. And be sure and allow some time for doing along with the telling. There has been a plethora of research done on learning styles, and the literature of ESL is full of studies of the cultural and social bases for various learning styles. Suffice it to say that, learning styles seem to have some important cultural roots, and in order to allow for these variations you should demonstrate and provide practice time as well as tell students what you want them to learn. This insures that all students will have a chance to deal with the concepts at hand in the manner with which they are most comfortable, and will also expose them to those other methods of learning they are likely to encounter in American schools. It is also a useful confidence-building exercise for shy students who are loath to admit they do not understand, or who fear to try what they do not already know perfectly. The comfortable American method of learning by trial- and-error and the adage "anything worth doing is worth doing poorly" are strange and illogical in many cultures.

Another important American concept that may need special attention is the idea of freedom of information in a democratic society. The United States has carried this far beyond many other, even western and "free" societies. The sheer number of information sources in this country is overwhelming, and once students are familiar with library research strategies and sources they are likely to need even more guidance in choosing among the materials they locate. Many foreign students have been trained to read as gospel their textbooks and only their textbooks, others are from cultures where information is so carefully guarded that anything in print is important. The idea that anyone can print anything and the ensuing need for informed value judgements on printed information may need to be explained in an American cultural context. Newspaper editorials, letters to the editor, and freedom of the press can all provide good springboards for such a discussion. Introduce students to conflicting opinions and statistics; walk them through the process of informed evaluation of a source or an individual. They are unlikely to have the familiarity with the popular press that American students use to differentiate between scholarly and mass market publications. Titles such as Ladies' Home Journal, Readers' Digest, and Psychology Today will not produce immediate recognition of publication types. If you have the opportunity it can be very useful have the class examine and discuss the various uses of different types of periodicals such as trade, popular, women's, and scholarly publications. The more opportunities you give foreign students to handle American research materials, the better they will understand them.

In the still scanty literature devoted to bibliographic instruction for foreign students these are the unique highlights. Some libraries have also developed library guides or glossaries in foreign languages; one is currently offering library tours in a variety of languages for its foreign student population. Such special attention can help foreign students feel more comfortable in the library, but it does not fulfill the library's responsibility to provide bibliographic education, especially since so many foreign students are in the U.S. to study highly specialized and technical fields. It was because of activities in such fields as computer science, engineering, physics and biochemistry that the term "information explosion" was coined. Like their American peers, foreign students need to be trained in methods to access, organize, and evaluate all of this information. What they need to know is the same as for all other students; it is only how we teach them that may differ because of their different backgrounds.

The standard tips for good teaching apply, and may be of greater importance because of the language and cultural barriers that exist. I have discerned no difference among the tips espoused for teaching in general, teaching ESL, and bibliographic education. You should speak clearly and distinctly, but not more slowly than normal. You should try to use as many synonyms and different ways of stating things as possible. The value of repetition and variation is very important when dealing with students whose English language vocabulary is limited. You should offer examples as often as possible, preferably ones related to the subject at hand or the experiences of the students. Be prepared to answer questions on all sorts of issues, and adjust your presentation to the immediate feedback you get from students during the class. If you provide written handouts, be sure that they are clearly written and reproduced, well laid-out, and not too wordy. Handouts should enhance your lecture, not repeat or replace it. Provide as much hands-on practice as possible. Do not necessarily take students at their word when they say they understand; observing them in practice will give you the opportunity to find out for sure whether key concepts and methods are understood, and will give the timid a chance to prove to themselves that they do understand. When students are practicing, whether it be at the card catalog, with a periodical index, or a reference book, keep your hands in your pockets. Otherwise it is very tempting to take over and do it for them. One demonstration is fine, but after that make the students do the work. Be sure to begin by explaining what you are going to teach and why. Foreign students are constantly making decisions about what is worth the effort it takes for them to listen, take notes, and understand, and what they can get by without knowing. Unless they are aware of the value of outside research and reading, they may ignore it in favor of their textbooks and the memorization that they are accustomed to from previous education in their native countries. Students not trained in the Western tradition of individual scholarly inquiry will not immediately recognize the value of libraries and library research. Expect the discussion to drift from libraries and research occasionally. Many things you say may provoke unexpected questions and comments. Foreign students are learning this culture and developing coping mechanisms for dealing with it at the same time as they are learning their academic subjects. Time spent discussing feminism, the welfare state, or hospices will not be lost time; you should take every opportunity to point out library sources or strategies for researching such curious Americanisms.

I find foreign students an infinitely rewarding population with which to work, primarily because of these unexpected delights. They are, for the most part, highly motivated, and equally curious about American libraries as they are about our society in general. I have never met a foreign student who was bored by the idea of libraries or research. Some are terrified, cocky, totally incompetent, or frustrated, but they are all eager to learn. If you make a deliberate effort to shed your own cultural shell of preconceptions and expectations, these students will provide you with an opportunity to delve into the values and theories in which American librarianship is rooted: individual scholarship, freedom of information, self-improvement, and informed choice and decision-making.

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THE TEACHING LIBRARY: MYTH OR REALITY

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Abstract. The concept of the teaching library is defined and discussed as an academic library model which places the library in the center of the campus. A case study describes library service, staff and collection development from the director's point of view as vital components of the teaching library. Advances in technology and their impact on information gathering practices can be factors in the strengthening and enhancement of the teaching library in the present as well as the future.

As the year 2000 approaches an increasing number of writings are concerned with the place and status of the academic library in the teaching/learning process. E. J. Josey states that "the academic library in the year 2000 will have a visible presence on campus."[1] Librarians will have earned their place as educators within academia by the end of this century is A. P. Marshall's prediction.[2] In the Council of Library Resources 14th Annual Report academic libraries are described as "central to the educational process with the mission to produce the reservoir of national leadership to take us safely through the decades ahead."[3] However, I prefer Robert S. Taylor's description of an academic library in the year 2000 because it approaches the definition of a teaching library most closely. He states that "the user becomes the center of the institution--not the packages, not the systems, but the individuals in the community that is served. In this case the academic library will become a true switching center, a community in which the dynamic process of negotiating and connecting users to people, materials and media is the heart of the enterprise..., it will become a library without walls."[4]

From such writings it becomes quickly apparent that academic librarians must assume leadership roles on their campuses if they want to survive in the "information society" of the future. They must be daring to take risks inherent in the new and rapid technological advances confronting information production and delivery if they want to maintain and strengthen their role in the instructional and scholarly life on campus. The revolution in computer technology can make it possible for the academic library to assume a more central role in the university provided librarians are willing to become more knowledgeable about computer hardware and software and help integrate newly developed technology into the teaching/learning environment.

One way of assuming an active role within the teaching/learning process on a given campus is through the utilization of the teaching library concept. The concept of the teaching library goes beyond the traditional concept of an academic library, as being the support unit for teaching and research through building and servicing an appropriate collection of materials. The teaching library as defined by Guskin et al actively advances all aspects of the institution's mission, teaching research and community service and is totally committed to:

1. Instructing students, faculty and staff in the effective identification and use of information resources.
2. Developing life-long learning skills and creating an awareness of continuing education for members of the campus and surrounding community.
3. Maintaining a collection of materials to satisfy curriculum and research needs as well as to stimulate inquiry into areas beyond the curriculum.
4. Sharing resources to provide access to materials not readily available on campus.
5. Using the library as a cultural center for campus and community.
6. Making use of the latest technology to help users in the satisfaction of their information needs.
7. Providing access to and teaching the appropriate use of resources for community residents to provide them with information to help them solve personal and professional problems.
8. Helping independent scholars and other researchers not connected with the institution to satisfy their information needs through provision of access to services and resources on and off campus and

through networking with other types of libraries.

9. Conducting research to improve services and collection.[5]

Not all of these components may be found in libraries having adopted the teaching library concept but a number of the described components are usually present or in the process of being developed.

A comprehensive library instruction program is generally the basic component of the teaching library in order to instruct users in the most effective way to find, use and evaluate needed information. Such a comprehensive user instruction program is composed of several levels - a basic orientation to services and facilities, instruction in basic library skills and research strategies and teaching of advanced reference skills relating to the organization of the literature in a given discipline.

The teaching library committed to a comprehensive bibliographic instruction program must also provide opportunities for its users to be exposed to new advanced technology such as online catalogs, microcomputers, cable television and telecommunications. The library should become actively involved in instructing users in the use of such technology and helping them become computer literate by offering workshops integrating appropriate technology into the course-related instruction and providing other types of demonstrations of sessions appropriate to the accomplishment of this objective.

A successful library instruction program requires much cooperation between faculty and librarians in planning and carrying out relevant course-integrated instruction. Close collaboration between faculty and librarians in the area of course content, library assignments, availability of information, grading of library projects and evaluation of students' progress in the acquisition of library skills is a necessity.

Developing and maintaining an adequate collection to support the curriculum and research needs of the campus community is another major commitment for the teaching library. All librarians must share the task of collection development and assume responsibility for certain areas in collection development through a liaison program. This program develops close cooperation between librarians and faculty in a number of areas. First, collection purchases are discussed and decided upon, often in a committee setting, particularly if controversial or expensive. Second, library instruction is promoted and planned and course developments and needs are discussed. Also, new library resources are introduced to the faculty in this manner. At times, cooperative grant or cultural programs are initiated and implemented through this mechanism.

Because of restricted budgetary resources it is impossible for libraries to acquire all needed materials and the teaching library must be especially committed to resource sharing to assure adequate information for all its users. This demands a high degree of cooperation between the teaching library and other types of libraries as well as constant monitoring of new technological developments to assure an efficient and quick delivery system. For example, the recent use of microcomputers and telefacsimile in interlibrary loan communication and delivery constitutes an improvement in this service area and should be utilized by the teaching library.

The teaching library is also committed to providing instructional services and cultural programs to residents in the surrounding community. Thus, such users may be introduced to library resources through special library programs such as film showings, poetry readings, and community or campus speakers or they may partake of special instructional workshops on genealogy, microcomputers, business resources and so on.

The library's services should also extend to the high school population to help prepare them for college and improve their skills by offering special library research instruction for them. The activities the teaching library can offer the campus and outside community are really only limited by the librarians' imagination.

It becomes quickly apparent that the staff in the teaching library will have to make a special effort to stay informed on current library developments and will have to conduct research to improve and update services and materials in order to perform their duties well and to maintain a good faculty-librarian relationship.

A number of teaching libraries have been described in the literature by Guskin[6] , Farber[7] , Spencer[8] , and Rader[9] . I would like to use one of these as a case study to demonstrate that such an academic library is a possibility in the 1980's and with adequate planning and leadership could still be a possibility in the 1990's and beyond.

The University of Wisconsin-Parkside is a young, urban, undergraduate commuter campus within the UW System with an enrollment of 6000, many of whom are non-traditional, first generation students. Programs of traditional liberal arts as well as science and engineering are offered. Master programs in business and public administration are also available. The faculty are teachers/scholars with a deep commitment to teaching and research. There are nine librarians, seven in public and two in technical services, all of them are involved in collection development and all phases of reference work. The seven public services librarians are involved in the instruction program.

Since 1973 the library has begun to evolve as a teaching library while becoming deeply involved in the teaching/learning process on campus. Goals and objectives are developed annually and are an important part of the budget and overall planning process. The library instruction program begun on a small scale has continued to expand annually.

The instruction program is based on a set of goals and objectives and is built on various levels from the basic library skills competency requirement to advanced course-integrated instruction in specific subject areas, team taught by librarians and faculty. The program is based on the theory that all students need certain basic and advanced bibliographic and information-searching skills to survive as students and members of the community. Students need to be able to identify and use major resources in an academic as well as a public library. They need to learn research strategies and the use of new technology. The instruction is provided through basic and advanced workbooks, exercises and lectures using a critical thinking approach. Basic library skills are part of the required collegiate skills which all students have to be certified for by passing an appropriate test.

Collection development occurs through an active faculty-librarian liaison program. Faculty and student curricular, research and general information needs are considered in the acquisition decisions which are guided by an up-to-date written collection development policy. Resource sharing and an active interlibrary loan program relying on the latest technology supplement campus information needs.

All librarians have been trained in online database searching and provide this service free of charge to faculty, staff and students. Likewise, a microcomputer at the reference desk is used to provide quick database searches for users. Librarians provide dynamic and aggressive reference service for students, faculty and staff and members of the community. Consultation with faculty on their research needs, and guidance for students working on class projects related to course-integrated instruction are examples of librarian-user interaction.

The development of a teaching library is difficult. It takes careful planning, administrative commitment, flexibility and skilled staff. The most important component of the teaching library is its staff.

The staff of the teaching library must be totally committed to its concept and to continuing education, see themselves as educators, be interested in new technological developments, be people-oriented and be professional.

The manager of the teaching library must hire and develop staff who are able to accept challenges and risks, must be able to communicate well with faculty and administrators to obtain needed support and resources and must be committed to the teaching library concept. Furthermore, the director of the teaching library must possess vision to strengthen and change the concept of the teaching library as needed. Other important attributes of such an administrator if he or she wants to be successful are flexibility, innovativeness and the ability to inspire others.

Staff development must be an important concern of the director of a teaching library. New and improved teaching methods, up-to-date reference information, appropriate collection building skills and utilization of new technology need to be part of staff training.

This particular teaching library model has been in existence for almost ten years. Throughout this period it has grown and changed as campus needs evolved and new developments in higher education and libraries occurred. Because of a strong campus commitment and staff flexibility this particular teaching library has been able to become a strong and more vital part of the campus. There have been many staff and institutional changes but the teaching library concept has been strengthened while problems have been worked out.

What does the future hold in store for the teaching library?

There is no reason to believe that it cannot continue and thrive. In the next ten or fifteen years the teaching library concept will become very important. As new technology is developed and influences information gathering and dissemination librarians will need to instruct users much more in information retrieval. To insure the free flow of information to users, librarians will have to deal with the control of information networks. If librarians can remain flexible and energetic while committed to the teaching library concept, they will ultimately serve their users well.

To put these thoughts in perspective, let me quote our Chancellor who has been influenced by the teaching library during the last seven years:

> "...the library and the increasingly technologically sophisticated librarians can and should be at the center of the major developments in the use of the new information and communication technology in university life.... The basic challenge for librarians is whether they are prepared to reeducate themselves, whether they are prepared to take the risks inherent in being at the center of major new developments, whether they are capable of entering into the political dialogue of university policy making that will determine the allocation of resources regarding new information and communication technology. We need a strong academic library system with creative and energetic librarians who are willing and excited to take the risk necessary to move the library of the future into a central role in the day-to-day life of the university."[10]

This is an appropriate challenge for the teaching library and one from which it will emerge successfully.

I hope you will agree with me that the teaching library is a REALITY.

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CREATING A COMPREHENSIVE LIBRARY USER EDUCATION PLAN

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Abstract. The proliferation of library user education programs over the last decade has created a pressing need for better program planning. Recognizing this need, the user education librarians at The Ohio State University conceived a plan to meet user needs for library orientation and instruction in a large university library system with an online catalog. A number of librarians participated in the completion of the first four of the plan's eight stages. The process has already brought significant benefits to the library staff and program.

Keywords and Phrases. Instruction goals and objectives. Instruction programs. Ohio State University Libraries. Planning instruction programs. University libraries.

This paper will focus on comprehensive and long-term planning for library instruction programs, with special emphasis on large academic communities. It contains sections emphasizing (1) the importance, need, and purpose of program planning; (2) how to plan - the basic elements and process, with examples of existing plans; and (3) details of planning a program at a large university -- The Ohio State University - the need and purpose, the process, and the product. Emphasis will be on the third section with discussion of how the Ohio State plan was conceived, the steps in its development to date, and commentary on how the plan will be ultimately completed.

IMPORTANCE AND NEED

Anne Roberts says, "The more time spent in planning a library instruction program, the more successful it will be, since all the variables will have been thought about, talked about, and written about."[1] Keith Cottam notes that although instruction librarians acknowledge the necessity to plan, little program planning is ever done. He states that planning results in better design and a more responsive program and that it "clarifies needs, goals, objectives, procedures, and methods, and it paves the way for evaluation and improvement." Cottam further asserts that "...sound instruction requires planning and design based on a systematic description and understanding of all the factors that will affect a program."[2] Even though user education librarians believe they are too busy to plan, they admit that careful planning and design do affect the success of instruction.

If there is a current need for planning and writing programs, the future most certainly portends an even greater need. In the keynote address at the 4th Southeastern Conference on Approaches to Bibliographic Instruction, Sharon Hogan predicted that librarians will have a role in the new-technology-generated information service of the future and that among the functions librarians will fill is teaching others how to manipulate information. Thus, participation in planning and working in library instruction programs should help equip librarians better to anticipate future needs.

In discussing the library of the future, F. Wilfred Lancaster states, "The role of provider of access to information and materials that the library will play throughout the period of transition - say, the next 20 years - will depend on its willingness to adapt to a radically changing communication environment." He then defines the two important functions of a library as facilitating access to materials and subsidizing that access.[3] Therefore, planning to facilitate access has not only an immediate benefit, but serves as an important key to the transitions in librarianship that will be set in motion in the future.

ELEMENTS AND PROCESS

With the immediate and future need for planning established, what are some of the basic elements of a plan and by what process is a plan conceived and created? Keith Cottam advocates an instructional design model with five basic activities: (1) recognition of needs; (2) description and analysis of the present situation, including available resources; (3) development of instructional objectives, methods, and materials; (4) delivery of the instruction; and (5) evaluation. He recommends less than strict adherence to this model but rather to use it as a tool or stimulus. Cottam discusses how needs can be perceived (through reference desk activity, requests for help, etc.), and resources examined (materials, instruction methods, etc.). Development is the next step, followed by delivery, which should be more effective because of the planning. The last activity is evaluation which will be the basis for revisions, development, and termination of programs.[4]

John Lubans has also developed an overarching plan, his consisting of nine phases: (1) identifying the problem; (2) forming a task force; (3) finding out, i.e., explaining the problem; (4) establishing objectives; (5)

planning the evaluation; (6) choosing "solutions"; (7) implementing the program; (8) evaluating; (9) revising, and maintaining. Lubans builds a strong case for involving a number of people in the process and identifies the individuals and groups (managers, librarians, users, task force, coordinator, and other agencies) he believes should be involved in the nine phases of writing the plan.[5]

The University of Texas at Austin library plan, "A Comprehensive Program of User Education for the General Libraries," not only provides the steps in the development of the plan but also the process.[6] A User Education Committee, appointed in the mid 70's, was largely responsible for the development of the plan. The committee began by defining the categories of library users and then surveyed faculty and students to learn more about user needs and opinions. At the same time, the committee collected information about the library's current user education activities and surveyed librarians about the needs of their users, the current and future resources for the program, the user education activities of individual librarians, their training needs, interests, and backgrounds. Based on the information gathered and acceptance of some basic precepts about user education, the committee wrote a program and plan of implementation to be accomplished in three stages.

The Texas program and Lubans' plan contain different processes, both in terms of who is involved and the stages (number and type). The Texas plan was implemented and developed by a committee with considerable input, especially in data-gathering, from the library staff. Lubans would involve more than five different groups in nine clearly defined stages of writing the plan.

NEED, ELEMENTS, AND PROCESS AT OHIO STATE

With these two prototypes in mind, let's examine how a library user education plan at Ohio State was conceived. The library user education program at Ohio State is a burgeoning one - compared by one observer to an atomic explosion. While some course-related instruction had been offered for many years, the establishment of the library user education office in 1978 (on the strong recommendation of the library faculty and as a high priority for the library administration) gave considerable impetus to development of a broader, more integrated program. The OSU library system now has a freshman program that reaches the largest freshman class in the country (8 to 10 thousand students annually) with a presentation given by a librarian and includes an assignment requiring use of the library system. The program has been in place since 1978 (see articles published in *The Journal of Academic Librarianship*)[7] and has had a demonstrated impact on students and the library.

Colloquia for classroom faculty on library user education, which have been offered annually, have stimulated course-related instruction in a wide variety of academic departments. Course-related instruction has proliferated in such departments as Communication where eight hundred to a thousand students are reached every quarter. The School of Natural Resources is developing a library instruction program which will be integrated sequentially into the curriculum from freshman through graduate courses. The College of Agriculture and Department of Biological Sciences have very active instruction programs and are considering the development of integrated efforts similar to those in place in Natural Resources. Working with the Department of Continuing Education and The American Language Program has brought increased instruction for their students. Research clinics and LCS (Library Control System - OSU's online catalog) workshops have added to the level of activity.

This proliferation of instruction has begun to tax seriously an already overextended library faculty and staff. If the program were to continue to develop, some questions needed to be answered. Where was the program going? How could resources be channeled in the most effective way? What was the actual level of activity in terms of number of classes, students reached, etc.? Was there overlap and redundancy in present activities? What were the priorities of the present program? How could they be established for the future? Most fundamentally, is it possible to have a comprehensive, integrated program in a large university (55,000 students) with a complex library system (29 separate libraries)?

Convinced that such a program is not only possible but well on its way to becoming a reality, the Libraries administration determined that a formal written plan was critical to further development. How was the plan to be conceived? What would it cover? Who would write it? How could a staff of over three hundred people come to agree on a single, all-inclusive plan? How could involvement from all concerned be obtained without draining the library system and taking considerable time? It was decided that the library faculty (two, at present) in the user education office would be responsible for outlining the plan and superintending its final production.

The user education librarians pondered how to begin developing a plan. They remembered that the guidelines for planning and evaluating programs in the Bibliographic Instruction Handbook begin with assessing the needs of the academic community[8] - an approach consistent with the Texas plan. The Ohio State planners, however, agreed with Patricia Breivik who states that academic libraries should not need to spend much, if any, time surveying needs. Breivik believes that librarians who have been active in their institutions will know basic user needs; however, she recommends that librarians do develop a profile of individual groups and their needs.[9]

The user education librarians conceived a program in eight stages:

1. Identify and describe the academic community - people and programs;
2. Examine the library's resources - staff, collection, facilities and equipment, budget;
3. Establish goals and objectives for a comprehensive user education plan;
4. Summarize the library's current instructional activities with staff time involved -
    a. orientation programs,
    b. course-related classes,
    c. separate courses,
    d. point-of-use materials,
    e. handouts/guides,
    f. other;
5. Examine goals and objectives as prepared in light of the present program and identify unachieved goals and objectives;
6. Survey needs (as necessary) - user, program, resources;
7. Examine achieved goals and objectives in light of established needs and available resources; and
8. Establish priorities and set timetables.

How these eight steps were to be accomplished was difficult to decide. It was deemed essential to involve as many people as possible, but as efficiently as possible. The historical short-staffing of the library system meant that individual staff members simply couldn't devote considerable time to the project. On the other hand, the rapidly expanding user education program lacked clearly defined direction; and if this weren't provided soon the program might falter or even come to a halt.

Keeping these factors in mind, the two user education librarians assumed the responsibility for steps one, two, and four. They began collecting and sorting the data on the academic community and library resources. To collect the information on current activities, the librarians devised a reporting form similar to that used at the University of California, Berkeley. The form was distributed to all units in the library and the information returned was compiled into tables and short reports. The materials section under step four was completed by a special committee that had been working for almost a year collecting and annotating samples of all the user education materials used in the library system.

Step three provided a good opportunity to involve a number of people in writing the plan. Three committees, consisting of a chair and two members each, were appointed. They were provided with guidelines on writing goals and objectives for a library user education program (orientation and library instruction) and a prototype sample of goals and objectives for an undergraduate program. Each committee was to work on only one segment of the user population: undergraduate students, graduate students, and faculty. They were encouraged to brainstorm ideas and not to feel constrained by financial or personnel limitations in their planning.

All the major public service units in the library were represented on the committees including department libraries, the reference department of the main library, the Mechanized Information Center (the Libraries' database searching service), undergraduate libraries, and technical services. The committees each met three or four times over a month's time and then submitted their reports; two of them were very different from the prototype and all three from each other. The undergraduate committee submitted a number of goals and objectives stated in behavioral terms, such as: students can identify the staff person to meet their needs, i.e., for checking out materials, LCS instruction; students are able to check out reserve materials. This report listed the materials needed to achieve each objective and the library personnel responsible for seeing that the objectives were met.

The graduate student report listed such program goals and objectives as: offer at least one scheduled LCS lecture in every individual area each quarter; offer broad discipline-related Graduate Student Research Strategies Clinics at least three times each quarter. The report identified materials needed and set timetables for achieving the program goals and objectives. The enumeration in some detail of the responsibilities of the user education office was a unique part of the report and marked the first time the office's role had been clearly defined. It was significant that a committee recommended empowering the office with such responsibilities as "obtaining support and commitment of the University Administration for a basic student library skills requirement" - a responsibility the office would have had difficulty assuming on its own. The third committee report dealt with such program objectives as: make the faculty and professional staff aware of relevant circulation policies and procedures. It then enumerated the major points to cover in achieving each objective and suggested how they might be accomplished - handouts, orientation, etc. There was no timetable in this report.

The reports were analyzed, rearranged, and then combined into a single document with instructional and program goals and objectives defined, needed resources listed, and timetables for implementation established. Excerpts from the orientation and library instruction sections for graduate students provide a good example:

Orientation For Graduate Students

A. Goals
  1. Instructional Goal:
    All graduate students are able to utilize the library system on a basic level.
  2. Program Goal:
    All graduate students will have received adequate orientation instruction by the end of their first quarter.

B. Objectives
  1. Instructional Objectives (Terminal and Enabling)
    T.a. Students are familiar with the physical location of the libraries within the library system.
      E.1. Given a map, students can find any library within the system.
      . . . .
    T.d. Students are aware of library services, e.g., ILL, user education program, MIC.
      E.1. Students know where the ILL department is located and its function.
  2. General Program Objectives:
    a. One scheduled orientation in each individual area each quarter - Fall, Winter, Spring (FWS).
    b. Separate orientation program each quarter (FWS) for all international students following the Libraries' general orientation program.
    c. Special orientation program each quarter for all T.A.'s covering:
      1) User Education Program.
      2) Search strategies.
      3) Alternatives to a research paper.
      4) Do's and don'ts in assigning papers.

C. Present Needs:
  1. Panel of presenters for council orientation.
  2. Staff to give orientation in individual areas.
  3. Handouts on:
    a - OSU Libraries, MIC, Reference Department, LCS Circulation Policies, ILL, User Education Program, International Studies, Department Libraries, Special Materials.
    b - List of libraries/areas with addresses and names of each head.
    c - Map of library locations.
    d - Circulation rules and regulations.
    e - Libraries' newspaper.
    f - LCS Brochure.
    g - Individual library guides.

D. Future Needs:
  1. Slide program for use in fall, 1984 presentation.
  2. Video program for use in individual areas by fall, 1986.

Library Instruction For Graduate Students

A. Goals
  1. Instructional Goal:
    Graduate students are able to use the library system efficiently and effectively.
  2. Program Goal:
    Through a variety of approaches, graduate students are to receive advanced course-related instruction by the end of their first year.

B. Objectives
  1. Instructional Objectives (Terminal and Enabling)
    T.a. Students are able to use LCS and the card catalog to find the information they need.
      E.1. Students can identify the correct subject heading for their topics in LCSH within a given period of time.
      E.2. Students demonstrate the ability to use cross references and tracings in LCS and the card catalog.
      E.3. Students demonstrate the ability to do author, title, and subject searching on LCS and to understand the information on the screen display.
  2. General Program Objectives:
    a. Identify research method courses offered and faculty who teach them by fall, 1984.
    b. Contact and involve at least one individual faculty member who teaches a graduate course by fall, 1984.
    c. Offer at least one new course-related bibliographic instruction session every quarter (FWS).
    d. Develop a credit course in bibliographic instruction using a team-teaching approach with main library reference librarians and

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subject specialists by 1989.
    e. Offer at least 5 general workshops on LCS each quarter.
    f. Schedule at least one LCS lecture in every individual area each quarter (FWS).

C. Present Needs:
  1. Uniform format and outline
  2. LCS Brochure
  3. Transparencies

D. Future Needs:
  1. Computer program by 1988

With the plan ready for reactions from the library faculty and staff, two open sessions were held at which library faculty and staff were asked to react to the outline and the three completed stages of the plan. These meetings reinforced some of the issues already identified as crucial, e.g., the need to develop more materials to make users as independent as possible in using the library system, more effective orientation programs, and better general instruction for graduate, international, and disadvantaged students. When the goals and objectives statements have been refined and approved, step five - to examine goals and objectives in light of the present program and identify unachieved goals and objectives - will be implemented.

Developing a comprehensive plan has already brought many benefits to the library user education program. Staff are talking more about the program and are more concerned about and involved in the program. There is an increased awareness about what is being accomplished and a better sense of where the program is going. Planning for the future has clearly sharpened perceptions about the present.

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Section IV:

COLLECTION MANAGEMENT

ACCOUNTABILITY IN COOPERATIVE COLLECTION DEVELOPMENT
THE ELUSIVE INGREDIENT

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Abstract. A brief review of accountability in some earlier cooperative collection development projects and a more detailed examination of the Farmington Plan is followed by a discussion of factors which strengthen accountability structures. The relationship between collection development policies and accountability is emphasized. Several current projects including the Research Libraries Group's Conspectus and the Center for Research Libraries are examined. The importance of the way cooperative projects are perceived by both librarians and faculty is stressed. It is suggested that a perception of the individual research library as a part of the total research base in the country is necessary for the success of cooperative programs and a prerequisite for genuine accountability.

Keywords and Phrases. Collection development, Cooperation, Accountability, Cooperative acquisitions.

Accountability in cooperative collection development includes both a clear definition of responsibility assumed and a workable system of monitoring the success of each institution in carrying out its responsibilities. In addition accountability implies a mechanism for changing responsibility on the initiative of the individual institution or of the group. In reviewing the history of cooperative collection development during the past fifty years it is difficult to discover instances in which accountability was clearly spelled out. Many descriptions of collection development policies and of cooperative plans include details of the mechanisms used in collecting material or the determination of the appropriate division of responsibility by subject, by area and/or by form. At the same time any explicit description of an accountability mechanism is lacking.

For example the extremely detailed survey of the University of Chicago Library published in 1933 includes a commitment to cooperation in collection development stating that "No single institution can provide a complete equipment of books for all desirable research, though the Chicago region should come as near standing alone as the two seaboards."{1} A brief statement of the division of responsibility with the Chicago Public Library, the John Crerar Library, the Newberry Library, the Chicago Historical Society, the University of Illinois and the State Historical Society of Wisconsin follows. The survey itself and the impressive goals for improving the collection set out in the final chapter might lead one to believe in the commitment of the University of Chicago Library to its own collection development policy, but a mechanism for mutual accountability from and to the other mid-western libraries at this time, while it may have existed, is not described.

The outbreak of the Second World War led to wide spread concern for the preservation of research materials in the United States and an increasing realization that this could only be done through cooperative effort. Almost ten years were spent in careful planning for the most ambitious cooperative acquisitions scheme yet attempted in this country. The stated objective of the Farmington Plan was "to make sure that at least one copy of each new foreign book and pamphlet that might reasonably be expected to interest a research worker in the United States will be acquired by an American library, promptly listed in the Union Catalogue at the Library of Congress, and made available by interlibrary loan or photographic reproduction."{2} The plan began operation in 1948 first for material from France, Sweden and Switzerland. Coverage was gradually extended to all of Europe, Asia, Latin America, Africa and the Middle East.

One difficulty that became immediatedly apparent was the lack of agreement on a definition of research value. In 1952 four well known librarians checked the 1949 Swiss National Bibliography to indicate what they considered of research value. Of 1022 items they all agreed on only 110 items and were evenly split on 516 items. {3}

The problem of the clear definition of scope and the establishment of a workable system for monitoring achievement continued to be articulated. The Western European cooperation was originally monitored through a centralized office that received copies of all of the dealers invoices and correspondence. This office maintained statistics on purchases but apparently did not use this information in a way that was perceived as helpful. The area allocations for the rest of the globe had no monitoring mechanism. The 1958 review commissioned by the Association of Research Libraries suggested that the Farmington Plan Committee be strengthened and that part of its role should be "continuous study and assessment of needs, operation of programs and review and analysis of programs in action."{4} Following the Commission report the Farmington Plan Committee was reorganized so that area committees had the direct responsibility for planning, supervision and monitoring their activities. {5} Unfortunately effective monitoring and evaluation did not develop.

In 1972 Hendrik Edelman suggested in an article titled "The Death of the Farmington Plan" that "The lack of an adequate monitoring device within the Farmington Plan was one of its basic weaknesses."{6}

The Center for Research Libraries is possibly the most successful example of a cooperative collection effort in current operation on a national scale. Established in 1948 by ten midwestern university libraries as the Midwest-Interlibrary Center, it has expanded to an international base of over 180 members and a collection of over three million volumes. {7}

In spite of its growth the need for a serious rethinking of its operational goals and its priorities became apparent during the seventies and a ten year effort to redirect its program began in 1981. {8} Certainly the initial intent to provide housing for little used materials and to collect and house materials which would supplement the collections of member libraries but were suitable for central storage is a rational form of resource sharing. If in the coming decade this can be a reality which is integrated into other national plans the Center will continue to perform a vital role.

Another form of successsful long term cooperative collection development has been cooperation between geographically contiguous institutions often with clearly defined specific subject responsibilities. Duke and the University of North Carolina at Chapel Hill began cooperative activities in the 1930's and agreements for specific subject area coverage were first made in 1935. While the intensity of cooperation has varied, a revival of interest in the mid-70s has led to a renewal and revision of earlier plans and long range planning for future cooperation. {9} Accountability in agreements such as this one is to some extent built in because of the regular contact by faculty as well as librarians in the institutions. In addition any economies are more easily measured and improved service may well affect a larger percentage of the academic community.

A number of factors are now pushing research libraries to try cooperative collection development on a very broad scale both in terms of the materials to be considered and in the number of institutions to be involved. The Research Libraries Group's Conspectus which may soon be used by many research libraries through a program initiated by the Association of Research Libraries has been described in an article by Gwinn and Mosher. {10} The development of the conspectus grew partially from a position paper on a 'new Farmington Plan' and certainly in its development many of the lessons learned during the operation of the Farmington Plan have been heeded. The Conspectus attempts to summarize the existing collections strengths and the future collecting intentions of the participating members, but those involved in its development had a larger vision which is described in this article. "... they hoped the Conspectus would become the cornerstone of a larger national cooperative effort (one now being studied by the Association of Research Libraries) among all the principal research libraries of the nation, for the eventual benefit of generations of scholars."{11} Later in the article the development of the conspectus is compared in significance with the earlier development of the National Union Catalog. If it is indeed to fulfill its planners expectations, several problems relating to accountability will have to be solved.

Fundamental to the development of an accountability mechanism is a common understanding of the national resource base which should be established and maintained. It is evident that those involved in planning the Conspectus are aware both of the necessity for describing research collections in terms that are understood to mean the same thing by all participating libraries and of the difficulties that this presents. The Conspectus is organized using the Library of Congress classification as the outline for the description of their collection activities by the individual libraries. The reality is, of course, that research collections are not built up to fit neatly into the LC classification scheme and that current research in many if not most disciplines seldom if ever depends on resources from any one section of a schedule. In addition some collections are based on a geographical area and include many if not all subject disciplines from one geographic area such as Asia, Latin America or Africa. Other collections are based on form as in map collections or source as in collections of government publications. Added to this is the interdisciplinary nature of much research now being undertaken, a reality that will certainly increase.

While these problems are clear to many

involved in Conspectus development a better overall basis for describing collections is not so clear. There is a temptation to view the tremendous advantages gained by the application of new technology to the construction and manipulation of the Conspectus as the solution to its problems. The Conspectus online offers us a way of defining our research base only if a large number of those involved in collection development invest a substantial amount of time in defining their collections in the same terms used in the Conspectus. The chances of this occuring will be much greater if the Conspectus itself is able to reflect the diversity of collection strengths which have been built from different perspectives, i.e. traditional subjects, interdisciplinary fields, area studies, form etc.

One possible approach to this problem is to start with the problem areas such as maps or Latin American Studies, or to start with the fields defined in our current university communities by departments and degrees, and to build from there a definition of strengths.

An additional problem is the subjective nature of collection evaluations. The Research Libraries Group has worked by means of verification and overlap studies to ensure greater accuracy in reporting collection strengths and a better understanding of the relative quality of collections. {12}

One current project that is attempting to coordinate the functions of the Center for Research Libraries and the activities of those involved in the development of the Conspectus is the national program of cooperative acquisitions for Asia. The immediate motivation for this project is, as with many projects, a financial one. The PL480/Special Foreign Currency Program for India is coming to a close. For 20 years major research libraries have been able to develop their South Asian collections through this program. When it closes they will have to pay for acquisitions they previously received free and it is obvious that all participating libraries must reduce the level of their acquisitions.

The Committee on South Asian Libraries and Documentation (CONSALD) of the Association for Asian Studies is developing a cooperative program which utilizes both CRL and the Conspectus. As CRL has been a major national repository for South Asian materials since 1962 they have already developed an extensive collection. It is the hope of the members of CONSALD that CRL will be able to continue to collect journals and government documents from this area. Obviously for this to be done, the members of the Center for Research Libraries will have to make this a priority in the budget.

In addition a Conspectus based on geographic area and linguistic division has been drawn up by the RLG members in the group and they are working with non-RLG libraries who have agreed to use this mechanism in defining their collections and dividing responsibility. {13} This type of cooperation which integrates various cooperative activities seems to have a possibility of success. Perhaps it is analogous to reality based therapy, building its Conspectus on already defined collections.--not as neat as fitting into Library of Congress classification but more functional.

If a commonly understood statement of the desired national research base is worked out and collection development officers are able to input the policies of their institutions into such a base there is then a potential for the development of an accountability mechanism. Within the mechanism for stating a policy there must also be included a relatively simple mechanism for change. The online technology gives us a means of distributing the information about changes but it does not supply the mechanism for encouraging the reporting of changes. Collection development policies and joint statements of responsibility such as the Conspectus are only functioning when they are shown to be capable of change in a manner which perserves the national research base. It is probably more important for an institution to report a decrease in the level of collecting, particularly in an outstanding collection, than for it to have originally reported a collection strength. When this decrease in the level of collecting by one institution can be shown to result in a reaction which guarantees that the national research base will not diminish whether by the acceptance of responsibility by another institution or by an agreement to increase funding of a joint institution such as the Center for Research Libraries, then the system will be working. When this happens many times the system will be working well.

One possible direction that Conspectus development might take is to begin now the acceptance of statements of intent to lower the level of collecting in any area whether or not the Conspectus has been developed. Thus a collection that has been comprehensive in biophysics might report that because of departmental cuts in the University their level of collecting intensity would be reduced to a basic information level. Whether or not the Conspectus had been completed for biophysics the Collection Management and Development Committee would look for alternative institutions collecting in biophysics or find that this is an endangered subject. This might prove to be useful in defining the research base as well as in dealing with the immediate problem.

A basic reality which is a part of the original definition of the resource base and of the maintenance of any project is the perception of value by not only the library community but also by the wider community of scholars. Ralph Ellsworth at the Midwest Inter-Library Center dedication said one of our tasks was that of "reasoning with our faculties and helping them to understand the necessity of this Center."(14) This may be one task that is still largely ahead of us and we may need to begin by helping many in the library community to understand the necessity for cooperation. A national plan for resource sharing is a plan which expects librarians to view their research collections as part of a national research base. Perhaps the most important activity in developing accountability in cooperation is first the spread of this understanding of research libraries. Those institutions who think, for example, of the Center for Research Libraries as an extension of their collection will hold the Center accountable for the material it has agreed to continue to collect and have available. In the same way the community of research librarians could begin to think of the RLG or the ARL libraries as in one sense an extension of their collection. This becomes an increasing reality as interlibrary loan becomes easier and quicker and document delivery in other forms such as telefacsimile transactions becomes cheaper and more common. If this perception spreads so that librarians demand accountability of others, they will be more prepared to evaluate their collections on a regular basis and be accountable themselves.

Accountability in cooperative collection development cannot be separated from accountability in collection development on the local level. It is not possible for librarians who work in research libraries that neither define nor evaluate their collections to participate in cooperative collection development and be genuinely accountable. Broad schemes will be only as good as the material which is contributed. Technology makes it possible to pool our reporting on resources but only human beings can guarantee that this reporting is true accountability.

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PRESERVATION TECHNIQUES TO INHIBIT COLLECTION DETERIORATION OF NEW ACQUISITIONS

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Abstract. Texas A&M University Library, a high-use open stack research facility, treats new books and non-books with preservation methods designed to inhibit future collection deterioration. The process involves a benchmark study of the existing collection, alternate format decisions based on a Collection Development Policy, library staff training, and an examination of each new title added to the collection. Immediate treatment is prescribed for materials falling below the Preservation Guidelines minimum standards. Approval Plan profiles and purchases of retrospective collections also benefit from the process. Key Words. Preservation. Collection Development

MYTH: Preservation is for old materials.
REALITY: In a ten year period, Texas A&M University increased its student enrollment by 91 percent to 36,000, its faculty by 90 percent to 2,000, and its library collection by 63 percent to 1.44 million volumes. As a consequence, the physical stabilization of the collection by preservation of new materials became a key component in Collection Development. (See Figure 1)

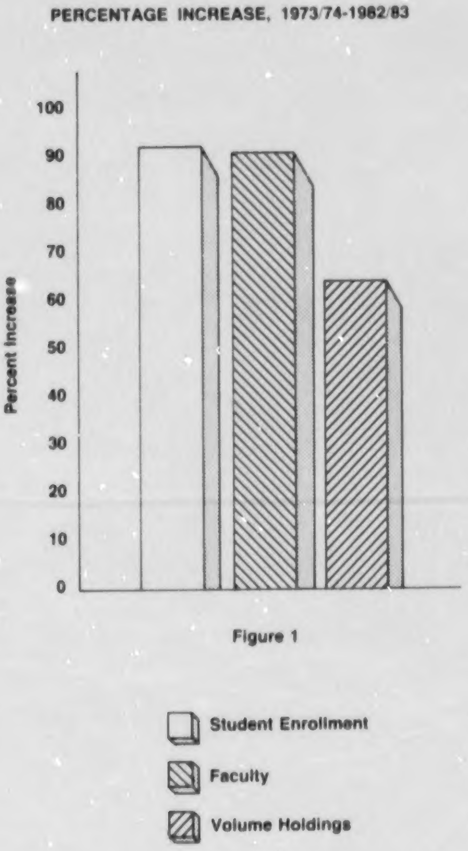


Figure 1

A preservation group was established within the Collection Development Division as part of a long-range plan to limit materials deterioration. This deterioration was caused by high use in an open stack environment. The plan was an outcome of the rapid growth of the University into seventy academic fields and agencies in which the University's faculty and student needs placed increasing demands on the materials. It was further noted that non-book formats represented a significant portion of the collection. For example, in the previous ten years, microform holdings had increased 250 percent to 2.4 million items. A joint program between Collection Development and Preservation was designed to allow assessment of environmental problems, replacements, alternate formats, book format problems, storage, and source problems. Both current purchases and purchases of new retrospective collections were to be evaluated in the program.

COLLECTION DEVELOPMENT AND PRESERVATION

The rate of growth of the collection within the total growth of the University community has placed stress on the collection's ability to represent the rapidly growing diversity of needs of both faculty and students. A new collection development policy was developed in 1982-83 to focus the collection. But while such a policy represented faculty's opinions, the collection itself needed benchmarks. Since the University Library's greatest growth was in the last ten years, the bulk of the collection's new acquisitions are within that time frame. As the subject policies were generated for the overall collection statement, Preservation staff (one half-time librarian and one full-time clerk) evaluated the high demand areas within the collection based on circulation statistics, faculty requests, and student demand (as demonstrated by rate and size of enrollment in any given field). (See Figure 2) In this case, the fields selected for the benchmark study were art and architecture, computer science, petroleum engineering, psychology, mathematics, statistics, and agriculture. Over 50,000 monographs and serials were examined in order to create a benchmark toward the establishment of priorities.

Each volume was examined for type of construction, age, condition of binding, paper, and degree of circulation. Records were kept by the Preservation Librarian to indicate the level of treatment necessary for an item: in-house binding repair, phase boxing, or commercial binding. Based on the information obtained in the 1982 survey, Collection Development and Preservation personnel had their first objective data for anticipating needs for duplicates, replacements, alternate formats, and binding support.

TOTAL USE OF LIBRARY MATERIALS
1975-83

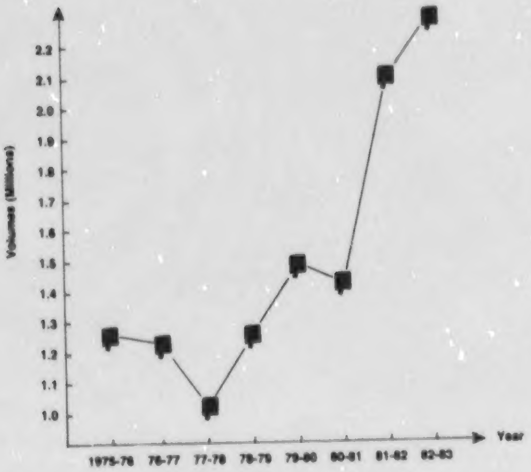


Figure 2

The newly revised Collection Development Policy was under development at the same time as the Benchmark Study. The objective format used to develop the Collection Development Policy required each librarian on the University Library staff to analyze an academic department's fields of interests. The measurements used were the rate of growth, depth of comprehensiveness, and format preferences for the appropriate Library holdings. The policy has provided an objective resource against which to measure and compare the collection's responsiveness in subject breadth and format representativeness.

PRESERVATION

In an effort to create a physically stable environment for the collection, the plan for preservation of materials involved taking the results of the Benchmark Survey and of the Collection Development Policy and applying the result to each title added to the collection. The Collection Development Policy serves the needs of a unified open stack environment. Therefore, the Preservation Guidelines were drawn up within a unified environment of public and technical services involving the education of public and technical services library faculty and staff. Through a continuing series of workshops and displays, the Preservation Librarian has created an awareness by staff that prompt action saves materials. Materials in circulation, processing, interlibrary loan, or any other public service are immediately routed to Preservation for evaluation when potential problems are sighted. (See Figure 3)

ORGANIZATIONAL INTERRELATIONSHIPS

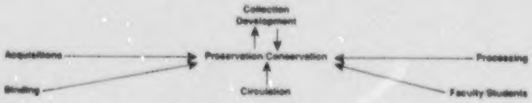


Figure 3

In order to achieve a cost effective physical condition stabilization program, a two-point approach was employed involving approval plan profile delimiters and post-receipt processing of new purchases. The Approvals Plan Profile is affected by Preservation Guidelines because the profile restricts certain formats such as spiral bindings or pamphlets. The Collection Development Policy overrides those restrictions when comprehensiveness of coverage or the characteristics of an academic filed demand such a format. Generally, through format restriction, Collection Development librarians achieve a heightened awareness of the storage and maintenance requirements incurred by characteristics such as size, unusual paper or binding, and age. The awareness generates plans for decision-making in such areas as shelving capacity (e.g., folios) or supports (e.g., pamphlets), access (e.g., phase boxing), alternate formats (e.g., microform backup or substitute for hard copy), duplicates or originals, or climatic conditions.

Post-receipt processing is the key to filtering all new materials into the system. Each book truck of new materials is examined title by title for characteristics which require treatment. Hence, materials achieve support before deterioration. A comparison of the Benchmark Study data with the post-receipt titles updates the database for evaluating the physical condition of the collection.

The Preservation Librarian maintains these statistics and, with the information at hand, is able to contribute to two key phases in Collection Development: selection of new materials and evaluation of retrospective collections under consideration for possible purchase. Selection of new materials falls into the area of approval plan profiles as well as direct purchases. In 1982/83, the new materials budget was $2.4 million which included about 35,000 new monograph titles. In the last year, four major retrospective collections were purchased by the Library: Randall Philosophy Collection (4,000 titles); Rice University Southern History Collection (est. 2,000 titles); Chicago Museum of Science and Technology Collection (13,000 titles);

and special purchases in Architecture (est. 1,000 titles). These older materials receive the same attention as new materials with the exception that some items require more intensive preservation techniques. In the selection of these older collections, the cost in time and money to bring one of these collections into a stabilized condition for open stack usage is one of the prime factors in the decision to purchase the materials. Special purchases and areas such as the program in African and Latin American agricultural materials bring inherent problems such as age, poor paper quality, soft binding, or pamphlet formats.

The Benchmark Survey generated four programs within Preservation: binding interphase, environmental control, brittle materials and conservation. Binding interphase serves as a second source for collection stabilization. For instance, in 1982, over 25,000 itmes were commercially bound, while another 17,000 items were handled in-house by the binding staff. (See Figure 4)

The in-house "Protective Encasement Program" generated phase boxes, mylar jackets, encapsulation and construction of acid-free board portfolios. Binding staff repair spines and covers, construct temporary bindings, and handle other replacement activities such as tipping-in of replacement pages. Over time, these in-house repair statistics will offer much information on the physical characteristics of materials such as the rate of deterioration of certain papers of bindings. (See Figure 5)

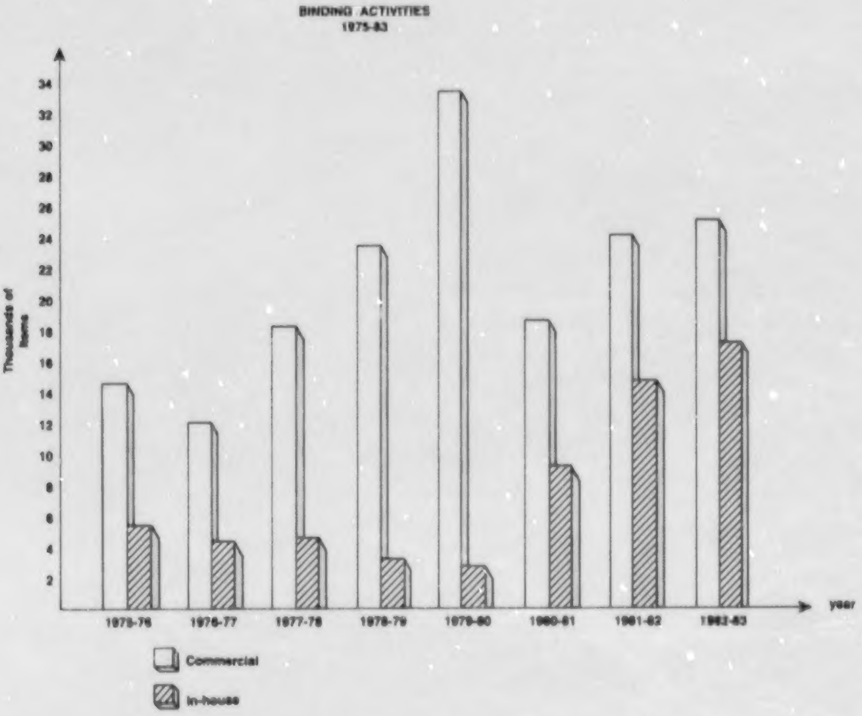
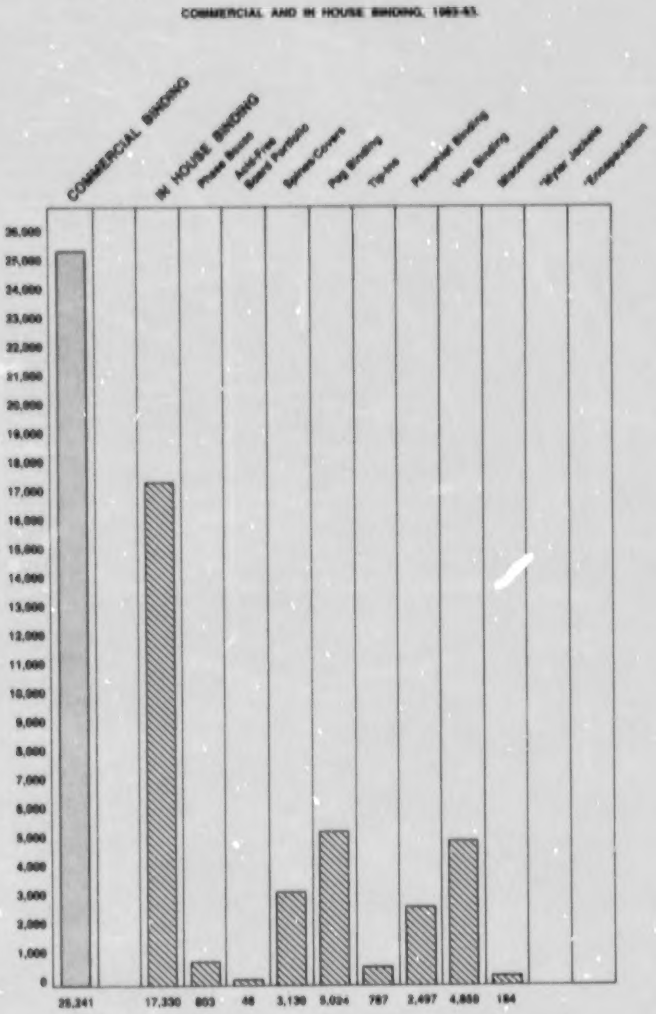


Figure 4



*Will be introduced in 1984.

Figure 5

Other implications include statistical measures for the optimum preservation technique for materials receiving high use versus low use. A binding versus phase box study will be conducted later this year.

NON-BOOK FORMATS

The Collection Development/Preservation interaction is significant in the burgeoning non-book part of the collection. The Microtext Department, with over 2.4 million items, the Learning Resources Department, housing software, audio and video disks, films, and records, and the Map Department (82,000 items) are growing rapidly and may be expected to continue to do so on the basis of the faculty research commitments determined by the Collection Development Policy revision. Circulation statistics for the 1982/83 year end show Microtext use to have increased 19.4 percent in one year while use of the other non-book formats, excluding software, have increased 479 percent over the same period. The heavy use of these materials is generating problems in deterioration. (See Figures 6 and 7)

The Preservation Guidelines are expected to generate real figures for forecasting the collection areas needing the most long-range planning for stabilization. For the cooperation between Collection Development and Preservation to be successful over time, close studies of physical problems with materials will have to be undertaken. Ultimately, the boldness of the attack at the root of tomorrow's conservation problems are expected to contribute toward the physical and intellectual integrity of the collection. For a large research library with an open stack policy, conservation will increase over time but not at a rate which could have been anticipated.

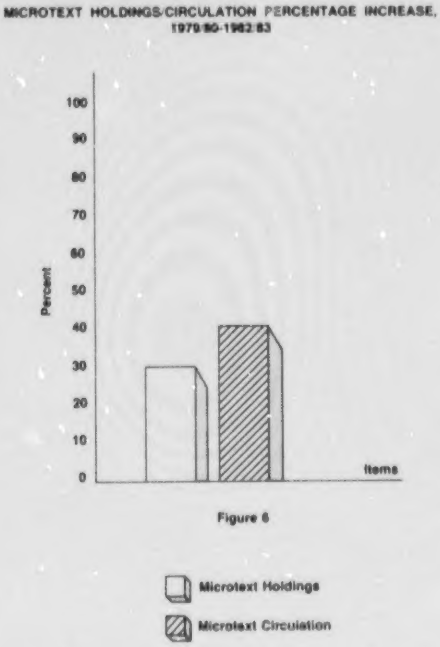


Figure 6

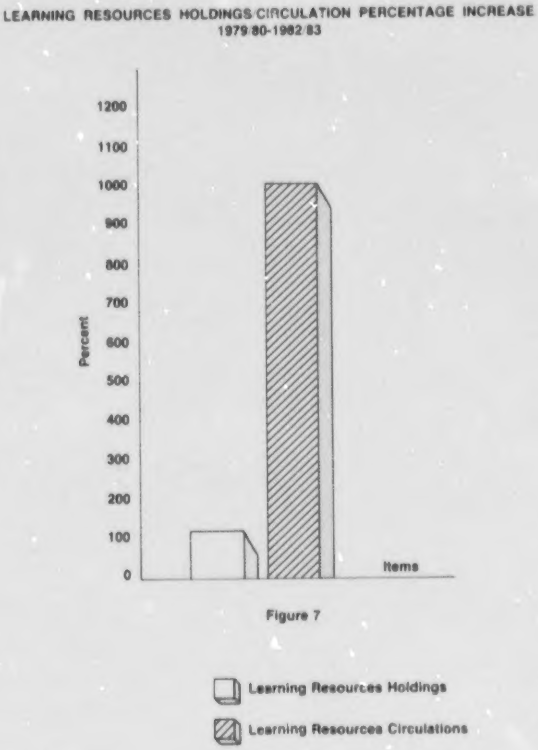


Figure 7

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AFRICANA COLLECTIONS IN THE 1980s: A REEMERGENCE OF COOPERATIVE ACQUISITIONS

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Abstract. This paper discusses the present status of area studies collections in the United States using Africana as the model and focusing on Africana librarians' pragmatic response to funding realities. Particular attention will be paid to the following: The President's Commission on Foreign Language and International Studies, the Department of Education's International Education and Foreign Language Studies Title VI funds, and the recent moves to strengthen interlibrary cooperation in acquisitions from Africa.

Keywords and Phrases. African acquisitions, Africana, Area studies, Collection development, Cooperation, Cooperative acquisitions.

Area studies collections in American research libraries constitute an invaluable resource of great importance beyond the geographic limitations of the United States. Identifiable as primarily "Area Studies" collections only over the past twenty-five years or so, the tremendous growth of the late 1950s and 1960s followed by the budget cuts, retrenchment, and inflation of the 1970s have now given way to a cautious optimism for the 1980s set against present-day realities. These realities, of which funding is perhaps the preeminent, are best known and understood by area studies librarians themselves and those with whom they work closely. The purpose of this paper will be to discuss for a wider audience of academic and research librarians the current status of area studies collections in a rapidly changing research library environment using Africana as the model and focusing in particular on Africana librarians' pragmatic response to funding realities in the 1980s. Following a brief introduction, particular attention will be paid to the importance of the following: The President's Commission of Foreign Language and International Studies, the impact of the Department of Education's International Education and Foreign Language Studies Title VI funds, and the recent moves to strengthen interlibrary cooperation.

The history of area studies collections in the United States and their needs is well documented. For a broad perspective such publications as Paul L. Berry's "Development of Library Resources" (1964), the American Council on Education's Task Force on Library Information Resources Library Resources for International Education (1975), and William E. Carter's "International Studies and Research Library Needs" (1979) are invaluable.[1] A closer look at the ongoing development of area studies collections can best be had through a perusal of the Farmington Plan Newsletter (1949- and its successor Foreign Acquisitions Newsletter (1970-1979), regrettably now ceased.[2] While reference to Africana constitutes an integral part of each of these titles, publications focusing on Africana alone include James C. Armstrong's "Current American Acquisitions Policies for Africana Materials" (1977), Hans E. Panofsky's "Area Studies in North American Research Libraries with Particular Reference to Africana" (1981), and Maidel Cason's jointly authored "Cooperative Acquisitions of Africana; Past Performance and Future Directions" (1982).[3] Ongoing developments in Africana can best be learned through consulting Africana Libraries Newsletter (1975-).[4]

Funding Africana collection development is a theme that permeates any discussion of Africana collections. This funding issue is of such great importance because of the unique nature of the growth of Africana collections. For the most part, Africana collections began from scratch and grew rapidly in the late 1950s and 1960s not only because of the commitment on the part of individual institutions, but also because of a major financial commitment on the part of a variety of private foundations and government agencies. External funding for collection development and support, however, was relatively short lived and, for the most part, has ceased. With the exception of federal government funds, mostly in the form of Title VI, subsidies for Africana collection development and support are presently extremely limited. This limitation of funds is set in a period which continues to see unprecedented growth in the publication of Africana not only in the developed world, but most importantly in Africa itself as a result of the development of independent national universities and research institutes, national library systems, national publishing industries, and the rapid expansion of literacy. Similarly, the reduced level of funding available for travel for research has increased the need for American Africana collections to insure accessibility to virtually all Africana, either in their collections or through cooperative arrangements with other institutions. The reality that confronts most strongly Africana librarians today is therefore to reconcile inadequate levels of funding with expanding collection development needs. While this reality is one shared by collection development librarians and library administrators in all areas and disciplines, the specialized nature of Africana and the steps Africana librarians have taken on their own to cope with this reality in the early 1980s serve as a useful model to the profession at large.

The 1980s began with a note of optimism for all concerned with the direction area studies was taking, including librarians. In November 1979, the President's Commission on Foreign Language and International Studies published its findings.[5] Formed by President Carter in 1978, the Commission was charged with investigating the status of foreign language and international studies and the resources to support such studies and to make recommendations for improvement. Shortly after the Commission's founding was announced, Africana librarians at a November 1978 meeting of the Archives-Libraries Committee of the African Studies Association began a process of establishing contacts with librarians' committees in the other area studies associations in order to make a joint statement of concern to the Commission. In addition, Africana librarians, through the Archives-Libraries Committee, presented its concerns directly to the Commission. The published report of the Commission and its companion volume of background papers address library needs directly, and its recommendations were greeted enthusiastically. Among its recommendations were:

> The Commission recommends maintaining and improving our international studies library collections by building upon our existing major research libraries, by adding at the national level an apparatus of bibliographic control, by regionalized acquisitions policies and improved access for external users, and by more efficient inter-library loan mechanisms. The Commission recommends that the Library of Congress expand in the near future its National Program for Acquisitions and Cataloguing (NPAC) to include principal world areas now excluded. The Library of Congress should also establish National Center for Foreign Area Bibliography, charged with the compilation, analysis and circulation of information about the production and availability of print, audio and visual materials of scholarly importance throughout the world....The Commission also recommends annual federal grants of $30,000 to $150,000 a year to each of the national international studies centers to help maintain a library collection in their fields of specialization of the high quality required for advanced research and training....The Commission believes that the specialized library collections held by the proposed national centers should be made as available as possible to qualified users from other institutions. We therefore recommend the establishment of a program of 500 annual mini-grants of $100 to $500 (averaging $300) to allow qualified faculty members or graduate students from other institutions to visit and use center collections.[6]

Had the necessary budgetary allocations been made to support the Commission's library-related recommendations, collection needs would have been substantially addressed. The legislation, however, introduced to support the Commission's findings died in Committee, and the elections of 1980 brought an end to the momentum for improving funding for area studies through federal financial support.

In the four years that have passed since the publication of the Commission's findings, none of its library-related recommendations have been adopted. What has happened is the establishment of the National Council on Foreign Languages and International Studies under the sponsorship of the Social Science Research Council and the expressed interest in the Library of Congress in hosting a meeting of area studies librarians to consider several of the recommendations of the Commission, namely: the development of a bibliographic center and program at the Library of Congress focusing on international studies, the development of improved and coordinated foreign acquisitions programs, and the expansion of NPAC with additional field offices, notably one in West Africa. Area studies librarians have not seen meaningful results following the President's Commission. They recognize furthermore they cannot significantly change the official direction of activities following the Commission's report. Nevertheless, Africana librarians have made use of the report as a frame of reference for their own activities, and the lack of substantive followthrough on a national scale for area studies in general has provided Africana librarians with much of the momentum needed to begin to address the issues for themselves.

This lack of substantive followthrough on a national scale may not have provided on its own sufficient momentum if it had not been for the continued budgetary restraints being experienced at individual institutions plus the threat to Title VI funds following the 1980 presidential elections. Title VI, International Education and Foreign Language Studies, is an integral part of the Higher Education Act of 1965. The programs supported by Title VI funds, however, predate 1965, many of them having received initial funding through the National Defense Education Act of 1958. Since its inception, this program has been a major impetus for the support and expansion of foreign language and international studies in the United States and has provided important ongoing support for libraries.[7]

With a new administration elected in 1980, however, the future of Title VI immediately became in doubt. Not only did the new administration begin to request budget reductions for Title VI (FY-1982--$14.9 million, FY-1983--$8.7 million when the FY 1981 allocation had been 19.2 million), but the announced goal was twofold: beginning with FY 1983 only Asian and Middle Eastern Centers would receive substantive support with almost no funds available for Africa, Latin America, Eastern Europe, or the Soviet Union, and the eventual elimination of Title VI altogether. The threat to international studies was immediately perceived as great, and successful lobbying was able to restore much of the proposed funding cuts, and the announced plans to focus on the Middle East and Asia alone have not materialized.

Africana librarians took the threat of loss of Title VI funds seriously. This threat of complete loss in 1980 followed a decade which saw the percentage of monies received by the center institutions' libraries drop. In 1973-74, for example, the average center grant for all areas was $92,779 and the average library allocation from the grant was $19,753, 21.2% of the total. By 1981-82, however, the average center grant had increased to $116,666 while the average center library allocation had been reduced to $18,185, only 15.9% of the total.[8] A closer look at the 1981-82 situation shows that for African studies centers an average of $11,251 was invested in the center institutions' libraries, only 9.4% of the average African studies center grant.[9] These funding realities speak for themselves. Reduced levels of important federal support with the threat of total elimination along with the increased pressures on the individual institutions' budgets themselves called for immediate action to address the expanding acquisitions needs.

As a result of these pressures, Africana librarians began in 1981 to plan for cooperative acquisitions. Working through the Archives-Libraries Committee of the African Studies Association during several of its semiannual meetings what emerged were two pilot projects, one focusing on newspapers and the other on countries with a small publications output. By the beginning of 1983, the projects were implemented with 10 institutions involved. Optimism among Africana librarians for the success of these projects was high for a number of reasons not the least of which is the successful history of their cooperative venture with the Cooperative Africana Microform Project (CAMP), and early reports have indicated more than satisfactory progress with the implementation of the projects.[10]

Unlike the much more broadly based Farmington Plan or the Area Specialization Plan, presently coordinated in Britain by the Standing Conference on Library Materials on Africa, Africana librarians designed their pilot projects from a number of suggested approaches to be rather small in scale hoping to build in the future on initial successes.[11] The first project concerned newspapers. A brief list of 15 high demand newspapers for which complete microfilm runs were considered essential to research collections from 6 countries (Ghana, Kenya, Namibia, Nigeria, Tanzania, and Zambia) was identified. Seven institutions (Boston University, the Hoover Institution, University of Illinois, Indiana University, the Library of Congress, Northwestern University, and Yale University) agreed to maintain their subscriptions to one or more of these titles, to report semiannually the issues received (a photocopy of the kardex is considered sufficient), and to retain all issues received until filming is completed either at the Library of Congress or the Center for Research Libraries through CAMP or the Foreign Newspaper Microfilming Project (FNMP).

The second project, the details of which are more complex, focuses attention on the publications of 15 African countries such as Benin, Chad, Equatorial Guinea, Gambia, and Rwanda which were identified as countries having relatively small numbers of publications annually and from which acquisitions were frequently extremely difficult and labor intensive. Eight institutions (Boston University, University of California at Berkeley, Stanford University, Indiana University, Michigan State University, the New York Public Library, Northwestern University, and Yale University) agreed to collect as comprehensively as possible virtually all publications from at least one of the countries, to report items received in a timely fashion to the bimonthly Joint Acquisitions List of Africana, and to make all items received available through the individual institutions' normal interlibrary loan procedures.[12]

Written agreements spelling out in detail the organization and scope of the cooperative projects were drafted and revised more than once in 1982. Final copies of the revised agreements were signed in late 1982 bringing the number of cooperating institutions in either or both of the projects to 10. The projects as established in late 1982 will run through 1984 with a planned major evaluation scheduled for spring 1985. This brief description of these projects does not describe the lengthy negotiating process involved in establishing a cooperative effort both at the national level or within the individual cooperating institutions nor does it describe the many efforts made by individuals to see them through.[13] Special mention must be made, however, of the key role played by Maidel Cason, African Documents Librarian, Herskovits Library of African Studies, Northwestern University, and 1982-83 Chair of the Archives-Libraries

Committee in organizing these cooperative efforts.

Cooperation on this model will not initially save individual institutions significant funds. It will, however, by assuring the availability of a select number of newspapers, allow an institution to cancel an expensive air mail subscription if the title in question does not receive heavy and/or immediate use. It will also allow individual institutions, which had been trying to collect as comprehensively as possible, to reduce its labor intensive acquisitions for a select number of countries relying on the results of the cooperative project to supply through interlibrary loan items needed for research by faculty and graduate students. Most important, however, cooperative projects in Africana on this model, which by their very definition bring individual institutions closer together, can create the atmosphere needed, including that all important element of trust, to move ahead in the mid 1980s with expanded cooperative projects the impact of which will be greater. There Africana projects are beginnings, growing out of the realities faced by Africana librarians in the early 1980s, that will hopefully serve as models for expansion, not only to Africana librarians themselves, but to all area studies librarians.

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6. Strength Through Wisdom, p.89-90.

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219 (1982).

11. The SCOLMA plan is briefly outlined in "Standing Conference on Library Materials on Africa: Area Specialization Plan," African Research and Documentation 21: 24-25 (1979).

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13. More complete information about these projects can be found in the minutes of the Archives-Libraries Committee meetings of 1982 and 1983 published in Africana Libraries Newsletter, 33 supplement (1982) and 34 (1983).

A NATIONWIDE, COORDINATED PRESERVATION PROGRAM:
ITS TIME HAS COME

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Abstract. Despite a variety of past proposals, a truly nationwide, coordinated preservation program has remained a tantalizing myth. Now, several elements combine to create a new, and more realistic, environment for cooperation, including the ability to add preservation data to bibliographic data bases, increased commitment of research libraries, and more prevalent support from funding organizations.

A cooperative program rests on the substantive, and well-publicized, division of responsibility among institutions committed to following the highest standards of archival preservation and supported by on-line, item-specific bibliographic control. The Research Libraries Group's new microfilming program provides a model that could be expanded through a planning process, orchestrated by an appropriate library organization. The logical candidates, the Association of Research Libraries and the Council on Library Resources, are both taking steps in this direction.

Keywords and Phrases. Cooperative preservation program; Preservation microfilming; Research Libraries Group; Association of Research Libraries; Council on Library Resources.

INTRODUCTION

The perfection of microfilming technology as a means of preserving the content of books, journals, and newspapers printed on deteriorated paper has led to a series of proposals over the years for coordinating this activity on a national scale. Despite studies of the size of the problem (including, in one case, a sampling of the whole National Union Catalog) and plans ranging from centralized cold storage to the establishment of a series of national preservation collections of "best" copies, a nationwide coordinated program has remained a myth.[1]

Leaders in planning efforts, principally the Association of Research Libraries (ARL) and the Library of Congress (LC), with assistance from the Council on Library Resources (CLR) and other funders have achieved some success in defined categories, such as foreign newspapers. The American Theological Library Association's filming of theological serials and the Center for Research Libraries programs, identified by such acronyms as LAMP or SAMP (for Latin American and South Asian Microform Projects), are well-known. The New York Public Library, LC, Harvard, the University of Texas, and other institutions have budgeted substantial funds for microform projects, some with well-defined emphases, such as Judaica. Libraries and commercial microform publishers have formed partnerships resulting in preservation of quantities of material in large sets, some admittedly more accessible than others. Although sometimes hard to get at, the information in LC's valuable National Register of Microform Masters and other guides aids local preservation decisions. But despite this catalog of useful, dedicated efforts, a mechanism for nationwide coordination has remained tantalizingly out of reach.

It would be comforting to leave it to the Library of Congress or Harvard or the New York Public Library to preserve its collection, and trust that will take care of the problem. This is not politically feasible, nor may it be desirable, or even fiscally possible. Even if affordable, a single institution is unlikely to want to discard the bulk of its collection after filming, and it would be too expensive to restore all items. Further, it is politically impractical for a federal funding agency to focus its entire budget for this activity on a single institution, nor is it likely that private foundations would want to put all their eggs in one basket.

A decentralized, coordinated approach appears to be the answer -- and it is a good solution if it can be orchestrated properly. In my opinion, a primary obstacle to coordinating efforts nationally has been the difficulty of exchanging information, quickly and efficiently, about what is preserved -- that is, the old "bugaboo": bibliographic control. And this information must be item-specific. While it is possible to divide responsibilities by subject category or format, it is difficult to publicize these ad hoc decisions widely or frequently enough. There is inevitably an overlap of interests. The key to full coordination lies at the local decision-making level. No matter how large or small the program, the question is the same: "Has anyone already filmed (or is likely to film) the exact edition of the crumbling title I hold in my hand?" Manual searching for that answer, through a multiplicity of tools with vagaries of arrangement, is time-consuming, frustrating, and expensive. If, however, the answer can be found easily, the basis for complementary, dollar-stretching activity is laid.

Several factors have combined to create a new environment for cooperation that will turn the myth of a national program into a reality. In the balance of this paper, I would like to enumerate those factors, outline a scenario of possible next steps, and briefly describe the roles of those I believe to be the leading players.

You will note the careful choice of words here....I am not saying "THE national preservation program." There will always be a kind of federated structure, a plurality of activity at many levels, involving many kinds of institutions. Nor am I talking about all of the facets of preservation activity required nationally. The needs are still there -- and deserve support -- for training more conservators and preservation administrators, for developing local grassroots programs, for workshops and internships, better standards and manuals, and so forth. I choose, rather, to concentrate on one component: a focused, nationally coordinated program using existing capabilities and resulting in a measurable product: a preserved, accessible, retrospective body of research material.

A NEW ENVIRONMENT

Before we get into that, however, what are the elements that have changed the environment so that it is more supportive of a coordinated effort? First, and perhaps most important, there is THE COMPUTER. The computer has enabled us to share our item-specific cataloging data in a way Herbert Putnam would never have envisaged. While LC, the National Library of Medicine, and the Government Printing Office provide the bulk of original cataloging data -- and certainly we hope this continues -- the growth of the shared cataloging organizations and their satellites have made it possible for others to join in this effort. Cataloging data is available more quickly than ever before...and to item-specific bibliographic records can be attached item-specific preservation information. The addition of the 007 field to the MARC format already allows us to exchange valuable data concerning microforms. The Research Libraries Group (RLG) went one step further and enhanced its RLIN (Research Libraries Information Network) system to highlight this information, so that the presence of master negatives and other microforms, as well as decisions to film, are made known to users of the data base in an overt way, whether the user specifically seeks them or not. OCLC is providing assistance to users who want to catalog large microform sets. LC's Preservation Microfilming Office just began cataloging its master negatives on-line and is beginning to distribute the records on tape this year. In sum, the folks who brought us computerized bibliographic systems also gave us a valuable tool for preservation purposes with the potential, as more and more records become available on-line, of reducing greatly that onerous manual search.

Second is an increased AWARENESS of the challenge and a COMMITMENT to doing something about it. In the late 1950s and early 1960s, while there were dire predictions of how quickly paper-based collections would deteriorate, the actuality was easy to ignore (except possibly for newspapers, which yellowed and crumbled before our eyes). Time has proved the truth of these predictions, now documented by survey upon survey. In addition, many of our profession's leaders are aggressively seeking to educate our colleagues within and outside the library about the dangers of deterioration. This is not to say that university presidents, publishers, foundation officers, and faculty are equally inspired, but evidence of a growing national commitment is strong, especially among the major research institutions, which quite rightly consider that they bear a special obligation to the nation as libraries of record.

The third element, and certainly the grease for the wheels, is the current availability of FUNDING SUPPORT. The U.S. Department of Education (through Title II-C), the National Endowment for the Humanities (NEH), and the Andrew W. Mellon Foundation are notable backers of this fairly recent phenomenon, and competition is keen. (As an aside, librarians cannot -- and indeed must not -- think that this current largesse will continue. Library managers must face up to apportioning more of their budgets to protect the collections that comprise their major investment.) Nevertheless, increased outside funding will allow us to put the mechanisms for cooperation into place -- and to preserve a good quantity of material besides.

Outside of the computer, the list does not include what might be expected -- the new storage technologies, in particular optical disk. There is a simple reason. I don't think that the technology itself has necessarily been the main obstacle to coordinated effort. Preservation microfilming has for years been a perfectly useful, relatively inexpensive technology; optical disk may offer even cheaper storage, but the costs of moving retrospective textual material from library shelf to disk, including bibliographic control, are the same. While the indestructible properties of optical disk have been widely demonstrated, its application in a normal library environment has yet to be tested.

The environment described here is essentially preservation technology-independent; once the mechanisms for cooperative endeavor are in place, we can use whatever technology offers the best balance between stability and cost effectiveness. Since preservation microfilming is a proven technology, however, assume for now that microfilming is the technology of choice.

DIVISION OF RESPONSIBILITY

If, as I've suggested, the environment is now more conducive to cooperative action than formerly, what are the mechanisms for achieving it? They rest on a simple hypothesis: substantive, and well-publicized, division of responsibility among institutions with acknowledged retrospective collection strengths, who are committed to following the highest standards of archival preservation, supported by on-line, item-specific bibliographic control.

This is not a new idea. In his 1972 report, Warren J. Haas, now CLR President, suggested that ten or fifteen libraries join in a "preservation consortium" to carry out specific preservation projects, concentrating on discrete subject areas.[2]

The RLG Approach

The new RLG Cooperative Preservation Microfilming Project, a three-year program underwritten by NEH and the Mellon Foundation, offers just this kind of model; moreover, it is one that could easily be expanded. To describe it briefly, RLG members first selected a target category: monographs, comprising U.S. imprints and Americana published from 1876 to 1900. Members were invited to submit proposals for filming subject fields within the target. RLG selected seven participants, two working from special collections and five focusing on broad LC subject classes. The seven then developed common guidelines and procedures, ranging from bibliographic control via RLIN to prefilming procedures and filming and quality control specifications. The master negatives produced are stored centrally in an RLG-leased private archival vault. The participants are individually responsible for selecting and monitoring the filming agents, whether in-house or commercial vendor, and for filling orders for copies of the resulting films.

It does not take a strong leap of imagination to see how this model could be expanded to other institutions and other categories of material, U.S. and foreign. One expansion has already occurred. The Library of Congress has agreed to focus a quarter of its budget for preservation microfilming on LC classes not covered by the RLG project. I suggest that the time has come to put into place the rest of the structure for a nationally coordinated preservation program, for the time being using microfilming technology.

A Nationwide Program

The program participants should be relatively few in number, possibly no more than 20 to 25 institutions, which are willing to undertake and support high-production activity. The program would be developed, at least at the outset, by a small staff located in a national organization that would be responsible for managing the process of dividing responsibilities, and for stimulating allied projects to overcome the obstacles that still remain. The participants would primarily consist of major research libraries, although some other institutions, such as large historical societies, might also have a role. In addition to filming, participants would have to commit to entering records for master negatives on a priority basis into one of the on-line, shared cataloging systems.

NEXT STEPS

The identification of the categories of materials to be filmed will not be easy, but, as the RLG project has shown, it can be done. The success of a nationally coordinated program will depend on succinct targets and mutual understanding of the scope of the assumed responsibilities. Selectivity must be present, but the mechanics of it kept to a minimum so as not to overburden the participants. Here are some steps that would move us from current fragmented microfilming efforts to a coordinated program:

1. Identify the institutions that have the ability and willingness to participate.

A Resources and Technical Services Division survey conducted in 1980-81 identified 38 institutions involved in preservation microfilming of books and journals from their general collections, with 11 others focused on newspapers and clippings. Jeffrey Heynen, coordinator of the ARL Microform Project, is about to distribute an improved survey, which may produce more specific information to identify likely participants.

2. Prepare a background paper to outline possible approaches to developing target categories and minimum requirements for participating institutions.

3. Establish an invitational forum to discuss the approaches and settle on the basic outline of the program.

Depending on the number of program participants, this could take the form of a series of regional meetings or just a single meeting, if numbers are relatively small. The goal would not be to divide responsibilities on the spot, but to come to agreement on the framework for the program, the approach to be used in determining target categories, and the appropriate management locus.

4. Prepare program document.

The document could serve as a fund-raising proposal and/or as a request for participant proposals. While it is hoped that funds could be raised to support the program, even the impact of current local efforts could be increased by more careful coordination and communication resulting from this process.

This planning effort is only one facet of what needs to be done to ensure program success. While the environment is conducive for coordinating activity, not all of the mechanisms are in place for making the program function easily. In addition to the planning process outlined above, there are other tasks that require attention if the coordinated effort is to be successful. For example, just making sure that bibliographic records for master negatives will be quickly available to all participants is not as easy as it sounds.

Microform records are now going into OCLC, RLIN, or local systems, and, to a greater or lesser degree, to the *National Register of Microform Masters*, soon to be integrated into the National Union Catalog. Unfortunately, the NUC will not be available on-line outside the Library of Congress. The gulfs here that prohibit easy access are readily apparent. A focused effort is required to make the case for sharing master negative records over some sort of computer-to-computer link or through tape exchange, to ensure that all records created meet cataloging standards, and to increase the number of records available from nonprofit and commercial sources.

ARL AND CLR

There is certainly no lack of potential leadership available to begin the process, quite the contrary. The organizations that have shown an interest in developing a nationally coordinated program are still involved, and they should be encouraged and supported. To take the next modest step may require additional staff support in an organization able to establish policy, develop consensus, persuade foundations, and take action. Among the obvious candidates, two, the Association of Research Libraries and the Council on Library Resources, are already taking some steps.

Most major microfilming institutions are members of the Association of Research Libraries. ARL recently adopted a five-year plan that calls for the design of operating preservation programs appropriate for external funding, and for outlining strategies to coordinate preservation microfilming. Through its Microforms Project, ARL is also improving bibliographic control of microforms and gathering valuable microfilming data. ARL members, who are also members of RLG, are already at work, and others could be added to this group under the ARL umbrella.

The Council on Library Resources has often been called on to bring diverse communities together to plan large-scale programs. In recent years, the Council has made special efforts to broaden perspectives on library issues by inviting scholars, university officials, academic association administrators, and foundation officers to work with librarians in a series of task forces and conferences. In October 1983, the Council hosted an invitational forum at the Wye Plantation in Maryland on the topic of "National and Regional Aspects of Collecting and Preserving Library Materials." After two days' discussion, the group encouraged CLR "to describe the elements of a national plan for consideration by scholarly and library organizations and, ultimately, for action by all who are concerned."[3] Discussants also identified key components:

1. A "skillfully planned and persistently executed program of public education,"[4]
2. A financial plan involving many funding sources;
3. Establishment of regional production centers;
4. Enlistment of representatives of scholarly disciplines to assist in identifying priorities;
5. A management structure "credible with library and scholarly worlds."[5]

In January, CLR appointed a small task force to begin the process of fleshing out these ideas and has arranged to appear on the conference programs of groups like the Association of American Universities this spring.

In summary, it appears the time is right to put aside the myths of the past and the impediments thrown up by thinking that the job of preservation is too big to tackle. The environment is conducive; potential leaders are moving ahead. We can put in place a nationally coordinated preservation program. All that is required is initiative and will.

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THE POLITICS OF WEEDING: NEW MYTHS AND OLD REALITIES

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"Overcoming the emotional response to what should be an objective procedure remains an unsolved problem."[1] Stanley Slote. Weeding Library Collections-II

Abstract. Although library weeding/storage projects tend to be very sensitive politically, the collection review literature seldom deals with the politics of weeding. This essay discusses the arguments, issues and concerns that emerged out of a comprehensive weeding/storage project at the University of the Pacific. The effective implementation of the weeding project was facilitated by a faculty liaison system that allowed the teaching faculty to participate directly in the decision-making process. It is argued that while objective procedures are necessary for the timely completion of any large-scale weeding/storage project, such mechanical procedures alone are by no means sufficient.

Keywords and Phrases. Weeding; Storage; Academic Libraries; Collection review; Collection management; Collection development.

INTRODUCTION

Few library activities are more politically sensitive than weeding. And for academic libraries, especially, the difficulty of carrying out a weeding project is complicated by the fact that for most such libraries, whether large or small, collection development tends to be a collaborative effort involving both the library staff and the teaching/research faculty. It was for this reason that Lee Ash said 20 years ago, "Good public relations with faculty, students and staff are highly important if a library undertakes a storage program."[2] When a review of collections is also intended to identify material for discard, then a library without a carefully thought-out approach to the political process of weeding is risking an exercise in "how not to win friends and influence people;" in other words, a public relations disaster.

Yet a review of the literature on weeding reveals, for the most part, concern with general weeding criteria and/or methodological approaches to the problem of identifying material for storage.[3] There seems to be a dearth of thought that considers the political consequences of initiating and executing a large-scale weeding/storage project. Further, while many librarians find the debate between those advocating "objective" weeding criteria and those espousing a more "subjective" approach to be of vital interest, it is sometimes difficult to learn from this discussion how one effectively deals with, for example, faculty resistance to the very idea of weeding itself.[4] Perhaps at this point I should state that by "politics" I do not just mean narrow considerations of good "PR" but rather a more inclusive idea of a process of conflict resolution that incorporates differing opinions and judgments into a communication system that leads first to negotiation and then to a compromise decision acceptable to the parties concerned.

The following reflections do not arise out of an abstract concern with the question of weeding but rather out of direct experience with the comprehensive weeding/storage project initiated at the University of the Pacific in the spring of 1982. While the project has involved a review of monographs, serials, and the reference collection, this paper will deal with the first stage of the project: a review of the book collection that took place between April 1982 and May 1983. The review resulted in the identification of approximately 10,000 volumes for discard and the relocation of 50,000 little-used volumes to an on-campus storage facility. The emphasis throughout this paper will not be on methodology per se, but rather on the kinds of arguments, issues and concerns that were encountered when attempting to implement such a program at a small non-research academic library.

HISTORICAL BACKGROUND AND INSTITUTIONAL CONTEXT

Since UOP was founded in 1851, the educational focus of this small (4,000 students) coeducational institution has been on an undergraduate liberal arts curriculum. In the 1960's UOP developed a curriculum based upon the cluster college concept of education. The 1970's, however, witnessed enrollment declines in the traditional liberal arts areas of the curriculum and enrollment increases in what became a very diverse pre-professional and professional curriculum: The School of Engineering, for example, grew in enrollment as did the new School of Business and Public Administration. The Schools of Pharmacy and Education held their own while the Conservatory of Music began to lose ground. Thus, the campus library system (1 main library and 4 branch libraries) has had to support a diverse and dynamic curriculum, while coping with increasing fiscal constraints.

In the academic year 1980-81, the UOP Library undertook an assisted self-study with the Office of Management Studies, Association of Research Libraries.[5] A solution to the library's space problem emerged as the highest priority of the self-study. Partly in response to the self-study report, the University Board of Regents made a commitment to a 6.5 million dollar addition to the main library. However, since the architectural design of the new building was to focus on much-needed user seating, the library needed to move toward a collection review program intended to meet both the immediate and long-term space needs of the library.

WEEDING: THE INITIAL PLANNING PROCESS

Early in 1982 the Library Director appointed a committee charged with the task of developing detailed plans for a weeding/storage program. After some research and many discussions, the committee developed a written proposal dealing with the library's monograph collection. This proposal called for a two-phase weeding/storage project. In the first phase, the objective would be to identify 5,000-10,000 volumes for discard. In the second phase, an attempt would be made to identify 50,000-60,000 volumes of little-used materials for on-campus storage. In the late spring of 1982, this proposal was approved first by the library's own Collection Development Conference and then by the University's Faculty Library Committee.

At this point, plans were made to hire additional staff to help with the day-to-day administration of the project. The Library Director also worked with the campus administration to develop a budget for the weeding project itself as well as for the construction of an on-campus "Auxiliary Shelving Facility." Finally, special plans were made to provide for teaching faculty participation in both phases of the project.

WEEDING FOR DISCARD: CRITERIA FOR REVIEW AND THE DECISION-MAKING PROCESS

The criteria used by librarians and teaching faculty for the general purpose of identifying material for discard included examination of the following types of materials:

Items no longer relevant to the curriculum

Superseded editions

Second copies

Non-English language material

Textbooks

Books in poor physical condition

Librarians were given the responsibility for meeting the initial goal of identifying 5,000-10,000 volumes for discard. They were asked to complete their review of assigned segments of the book collection by the end of the summer so that the teaching faculty could do a follow-up review during the fall term.

In reviewing the book collection in this first phase of the weeding project, reviewers took a conservative bibliographic approach: any book listed in either edition of *Books for College Libraries* was not a candidate for discard. In addition, no book indexed in the *Essay and General Literature Index* could either be discarded or sent to storage.

WEEDING FOR STORAGE: CRITERIA FOR REVIEW AND THE PROCESS OF DECISION-MAKING

Parallel with the effort to weed for discard, the weeding committee developed an approach to the problem of identifying little-used material for storage. It quickly became clear that the best approach for our purposes would be one based upon the "core collection" concept, i.e., an approach predicated upon the assumption that a sub-set of a library's collection accounts for most of the circulation. The writings of the late Richard Trueswell proved very useful in this regard, as did Stanley Slote's *Weeding Library Collections-II*.[6]

An analysis of the book circulation pattern conducted during the spring, summer and fall of 1982 revealed that over 96% of the circulation was from a population of books that had been loaned at least once during the last eleven years. Further, the stack surveys indicated that approximately 25% of the main library's book collection of 250,000 volumes could be categorized as "little-used" on the basis of a 1971 cut-date.

Acting on this information, a staff of student assistants put a storage slip in every book that had not circulated since 1971. No book acquired after 1971 was slipped. At the same time, the library provided the teaching faculty with a review schedule so that academic departments concerned with particular subject areas would have an opportunity to review the candidates for storage in their curriculum areas.

FACULTY PARTICIPATION IN THE WEEDING/STORAGE PROJECT: THE LIAISON SYSTEM

The library expected a negative reaction to the project on the part of some faculty members. Therefore, we wanted to do everything possible not only to facilitate communication, but also to encourage meaningful faculty participation in the collection review process. To that end, a liaison system between the library and the various academic units on campus was established. Each unit was asked to appoint a weeding liaison who would be expected to be familiar with the weeding criteria and procedures and with the progress of the project.

Although the primary function of the liaisons was one of review, they were not restricted to that role. In some instances, for example, teaching faculty asked to make the first pass at the collection in order to identify books for discard. In this case, it was the responsibility of the librarian working in that area to provide a follow-up review. Librarians never argued with the faculty over individual titles. It was felt that this would be a fruitless endeavor and, given the purpose of faculty review, counterproductive. Thus, any initial library decision on a particular title was, in principle, reversible. While we never argued over specific titles, librarians did have a number of interesting exchanges with the faculty about the general approach to weeding as well as the methodology employed.

COLLECTION DEVELOPMENT AND THE POLITICS OF WEEDING AT UOP

A weeding/storage project of this nature and scope, initiated and conducted by the library staff, assumes that the collection management function is primarily the library's responsibility. At a large research library, where the collection development process is likely to be highly organized and the responsibilities well-defined, this assumption may not seem remarkable. But at some smaller academic libraries, especially where collection development has historically been a rather informal and unstructured process, a major collection review project may bring to the surface sources of conflict that had heretofore remained latent. To a certain extent, this was the case at Pacific and it was for this reason that the flexible liaison system was crucial to the success of the project.

In what follows, I shall summarize in a fairly abstract way some of the arguments about weeding that emerged in sometimes heated discussions--discussions that took place among librarians and also between librarians and the teaching faculty.

THE POLITICS OF WEEDING: THE LIBRARY STAFF

Because librarians tend to be collectors by nature and not weeders, there is built-in resistance to weeding in most libraries. At the same time, it is essential that the library staff understand and accept the underlying rationale of a weeding project and work to fulfill its objectives. If this does not happen, a weeding/storage program can quickly become a very difficult and frustrating undertaking. Within the library at UOP a number of concerns, some practical and some more philosophical in nature, had to be addressed before the project could gain acceptance by the library staff.

Technical Processing Problems

The Cataloging Department was concerned about the impact on routine work-flow of the 5,000-10,000 volumes that had to be processed for withdrawal. There was also a concern about the impact of the new storage collection on the card catalog. The Weeding Committee decided at the outset that additional staff would be hired to process withdrawals. Materials being relocated would be checked out to "storage" and a separate file kept in the Circulation Office, thereby obviating the need for alteration of the card catalog records.

Difficulty of Weeding

Some librarians were overwhelmed by the sheer scale of the project: How were they going to find the time to identify 10,000 volumes for discard and 50,000 volumes for storage? The response was twofold. The committee would develop an approach to the identification of materials for weeding that was not labor intensive. Weeding activities would be scheduled to minimize disruption of the ongoing work of the library. At the same time, librarians were reminded that this kind of collection review was a necessary part of the library's collection development responsibility.

Political Viability of the Project

Since previous attempts to weed the collection had run aground on the rocky shoals of departmental resistance, there was a certain understandable reluctance to engage in such activity again. However, the Weeding Committee pointed out that interested faculty would be involved in the decision-making process and, perhaps more importantly, that the short-term need for stack space made weeding necessary.

Philosophical Concerns

Of course, some librarians questioned the idea of quality control through weeding: How could reducing a collection as small as Pacific's create a higher-quality collection? A related concern had to do with the "core collection" concept: wouldn't a residual "non-core collection" located across campus tend to become a dead collection? The Weeding Committee's responses to such questions were fairly direct: Since the UOP book collection is a relatively old one and since the curriculum has changed substantially over the years, there was a strong likelihood of some outdated and/or irrelevant material existing in the collections. The elimination of such materials might very well result in a higher-quality collection better able to meet the current educational goals of the University. Further, the weeding project should result in a more accessible collection because the overcrowded conditions in the stacks would be relieved. Every effort would be made to provide not only bibliographic access but also patron access to the materials located in the Auxiliary Shelving Facility, and demonstrated high-use items could be returned to the core collection in the main library. Finally, the core/non-core collection distinction would seem to be a valid one for institutions such as Pacific where the emphasis is on undergraduate use rather than graduate/faculty research.

THE POLITICS OF WEEDING: THE TEACHING FACULTY

Teaching faculty concerns with the weeding/storage project tended to be clustered in the following four areas:

Methodology. Some faculty members felt that our core collection approach was simply too "mechanical." In response, librarians pointed out that any book identified by this method was only a "candidate" for storage, subject to review by both librarians and the teaching faculty.

In-House Use and Browsing. Some faculty members pointed out that determining a cut-date based upon external circulation alone could identify for storage significant titles that had received in-house use not reflected in the circulation records. Librarians responded that an informal sampling of books left on tables indicated that a very high proportion of books that were used in the library also circulated and would therefore be identified as part of the core collection. Librarians had a more difficult time responding to the argument that some books are used at the shelf and returned directly to the shelf. However, one purpose of the faculty review process was to identify such material.

Core Collection Concept: What's The Use of Use? Some faculty members were concerned that the library was basing its storage strategy on the lowest common denominator: use. What about the notion of a core collection based upon bibliographic quality rather than mere utility? The library's response to such arguments was to reiterate that the collection review process emphasized bibliographic expertise and thus the core collection was not simply a quantitative product of a statistical procedure.

The "Managerial" Approach to Collection Development. Of course, some faculty members rejected the notion that a collection of books could be treated as a collection of things to be controlled objectively--a book collection, they implied, is organic and should be allowed to grow without managerial limits being applied to it. Librarians were able to respond that uncontrolled growth had led to the present impasse and that (further pursuing the organic metaphor) a healthy collection of books needs to be pruned periodically, just as a healthy tree needs to be trimmed regularly.

THE MYTH OF SCIENTIFIC WEEDING: THE REALITY OF THE UOP EXPERIENCE

The following three "political" factors were critical to the successful implementation of the weeding/storage project at UOP:

Librarians with Faculty Status. Because librarians have faculty status at Pacific and serve on the important governance committees of the University, they have had an opportunity to interact with the classroom faculty on a daily basis and also to identify those faculty members thought to be interested in participating in the weeding project.

On-Campus Storage. The fact that the Auxiliary Shelving Facility was located one block from the main library and that faculty members would be able to peruse the collection made the idea of storage more palatable.

Faculty Involvement in the Weeding Project. The flexible liaison system that encouraged faculty participation was absolutely crucial to the eventual completion of this stage of the weeding project. Not simply because it was a means of persuading the faculty that the project was viable, although that was certainly a consideration, but perhaps more importantly, because librarians wanted to utilize the bibliographic expertise of the faculty, some of whom had spent years helping to build collections in their particular subject areas. Because of this participation, our core collection concept was qualitative as well as quantitative--even if, for example, a title such as Plato's *Republic* had not circulated, it would not be sent to storage.

This is probably not the place for a full-scale review of the merits and demerits of what is often referred to as scientific weeding.[7] Suffice it to say that our experience has led us to the conclusion that the subjective/objective distinction insofar as rules for weeding are concerned is not a very useful one. Certainly, cut-dates arrived at by means of a replicable statistical procedure would appear to be "objective." Yet one still has to ask: Is not the judgment of a subject bibliographer or faculty member who has developed a working knowledge of a particular part of a collection just as objective and, therefore, just as valuable for the purpose of making an informed decision about the collection? Based upon the experience at Pacific, it is difficult to escape the conclusion that Simon and Fussler arrived at many years ago: "There is little question that the overall effectiveness of any formula for selecting books for storage would be improved considerably if one or more scholars reviewed the titles recommended for storage."[8]

My intention here is not to derogate so-called "scientific" approaches to weeding. On the contrary, the effective completion of the weeding project at Pacific would have been impossible without the kind of statistical methods developed by such researchers as Stanley Slote and Richard Trueswell. But if this essay has one point to make, it is that while such mechanical approaches are probably necessary for the timely completion of a weeding/storage project of any real magnitude, from both a bibliographic and a political point of view, they are by no means sufficient.

CONCLUSION

In retrospect, it is clear that the UOP library has suffered from what Evan Farber perceptively calls the "university-library syndrome," i.e., the tendency of college libraries to be thought of in terms that are more appropriate for large research libraries.[9] While it would be an exaggeration to say that librarians and teaching faculty at UOP have, as a result of their experience with the weeding/storage project, accepted the notion of a "steady-state collection" or "no-growth library," I think it is safe to say that the Pacific academic community is now more clearly focused on collection goals and objectives relevant to current and future curricular needs.

The liaison system will continue to operate as the library moves toward a more formal collection development process. The collection assessment information gathered from the circulation/stack surveys and shelf-review process will be utilized in writing a collection policy statement. In addition, it is now felt that, as a result of the project, both librarians and teaching faculty are more knowledgeable about specific collections and the collection development process in general.

Finally, while the library will certainly continue to use what Stanley Slote refers to as "objective procedures" in future reviews of the collections for weeding/storage purposes, we will not forget a very important lesson: in the final analysis, "objective procedures" alone are insufficient because the collection review process needs to be continuously guided by active human judgment.

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CONGRESS, HIGHER EDUCATION, AND THE FEDERAL DEPOSITORY SYSTEM

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Abstract. The avowed function of the federal depository library program is to provide government publications at no cost to the general public. In view of this, it seems out of place that academic institutions dominate the program. The situation does not seem so unusual once one realizes that the depository law was amended to allow expansion of the program in 1962 at a time of increased support for higher education. An examination of Congressional publications of the last two decades reveals that Congress clearly intended the expanded depository program as part of its overall effort to assist higher education. It is particularly important at this time that the academic community be aware of the developments of the last twenty years since there are again warnings of a crisis in education.

Keywords and Phrases. Government Publications, Depository Libraries, Legislation, United States Congress.

The avowed function of the federal depository library program is to make United States government publications available at no cost to the general public. Librarians express this popular sentiment when they use slogans such as "Documents to the People." In view of this, one might expect that public libraries would dominate the program since they serve the general public. However, public libraries comprise only slightly more than one fifth of the depository institutions, while academic libraries make up nearly two thirds. To be sure, law requires all participating institutions make depository material available to the general public, but many are readily accessible only to their own clientele or would not be considered by the public likely places to provide such a service. Academic libraries have dominated the program throughout the century, but the most remarkable growth in both the depository system and in the number of academic institutions in it has occurred in the last twenty years.

In 1962 there were 603 depository libraries of which 371 or 62% were affiliated with academic institutions.[1] By 1982 there were 1363 depository libraries.[2] Of these 910 or 67% were in academic institutions. Overall since 1962 there has been an increase of over 125% in the number of depository libraries, while the number of academic institutions in the program grew by 145%. In comparison from 1895 (the year in which the depository law underwent its first major revision) to 1962, the total increase in the number of depository libraries in all institutions was 183 or 40%.[3]

It is not possible to explain the difference by arguing that there are more academic libraries in the United States. Statistics from the American Library Directory refute this. In 1982 there were 8768 public libraries and 4924 academic libraries (departmental libraries are counted among the academic). When public library branches are included, the ratio of public to academic libraries approaches 3 to 1. These figures suggest that in terms of sheer numbers there should be more public libraries in the depository program.

I do not at all claim to be the first to observe that academic libraries dominate the depository program. In fact, one scholar has supposed that the major purpose of the program is to support higher education.[4] However, the idea has not been developed. In this paper I would like to focus on what Congress has intended to do by revising the laws governing the depository program. I will argue that Congress has allowed the number of academic institutions in the program to increase in the last two decades because it was convinced that it was assisting higher education. Without a doubt one may offer other explanations for the willingness of Congress. For example, it is possible to argue that academic libraries are better equipped and better staffed to handle documents. One might also argue that academic libraries have applied the most pressure on Congress, or that they are the only libraries at all in certain parts of the country. I believe that these arguments are valid and that there are others that could be presented. Nevertheless, I do not believe that they have held as much influence with Congress as the fact that it has seen expansion of the depository program as strengthening higher education. Let me begin by briefly recalling what had initially prompted Congress' concern for higher education.

In the late 50's and early 60's Congress became aware of weaknesses in higher education which had caused the United States to fall behind the Soviet Union in the fields of science and technology. Simply put, not enough qualified personnel were being produced in fields crucial to the country's defense. The watershed event of the period was the launching of Sputnik in 1957. It was followed by equally spectacular achievements in the years following, including the launch of a sphere which struck the moon. The latter was accepted as proof that Soviet ballistic missiles could be accurately fired against American cities. As a result of these events, it became clear to Congress and many educators that the nation's security was threatened. The response was a dramatic increase in federal support of higher education.

It is no coincidence that the last major revision of Title 44 of the United States Code, which governs distribution of federal government publications, took place in 1962 at this time of increased support for higher education. In effect the lobbying efforts of the academic community were successful because Congress accepted the fact that there was a need for more depository libraries in the institutions of higher education. This led to the unprecedented growth in the depository system documented before. Let me now trace in detail the events leading to the 1962 revision.

The first evidence of Congress' concern with problems in the depository law of 1895 is found in hearings of August 7, 1956, held by the House Subcommittee to Study Federal Printing.[5] The general area of interest was the sale and distribution of government publications, and one particular topic of discussion was the possible expansion of the depository library system. What had sparked interest in the depository program was Kent State University's request to subcommittee Chairman Wayne Hays for designation as a depository. Under the depository laws of the time the request could not be fulfilled. This resulted in an Ohio congressional district having a college with an enrollment of 600 designated a depository while Kent State with 6,000 students could not be so designated. The conversation between Hays and Carper Buckley, then Superintendent of Documents, brings into focus the problems in the distribution of government publications through the depository system at that time.

Hays criticized the laws then governing the system as out of date, noting that they were designed for the 1890 population and not the vastly increased population of 1950 America. The number of depositories planned at the end of the 19th century simply was not adequate for the current population. Hays directly links the increased population to pressures on higher education: "It seems to me the mere statistics of growth of the country would indicate--this is my personal opinion --especially in the institutions of higher learning there is a need for this."[6] A later exchange between the two is even more explicit in defining those who would benefit most from expanding the program:

> Mr. Hays. Do you believe the people most likely to use these facilities are students of universities rather than the public at large?
>
> Mr. Buckley. I would certainly say that among the people who would be likely to make the most use of the facilities would be students at universities.
>
> Mr. Hays. Then would you not think a university with 6,000 students would have more need for such a facility than a college with 600 students?
>
> Mr. Buckley. I personally would say that is right, and that is one of the difficulties in trying to administer the present depository law, because in the early days the college which today has only 600 students may at that time have been the best institution; and, once designated for the district, that has precluded the designation of another library in that district.[7]

Near the conclusion of the hearing Buckley follows Hays' line of questioning to its logical conclusion.[8] He surmises that the depository law might be altered to provide universities "a publication service." Buckley goes so far as to call this a "subsidy," although he is quick to question his use of the term. He then suggests that perhaps the time has come to broaden the depository system to meet this need. From this conversation one may safely conclude that Hays and Buckley considered the 1895 law a hindrance to higher education.

In 1957 and 1958 the Hay's subcommittee continued its investigation of the depository library system in a series of hearings held throughout the country.[9] Specific provisions of the bill were examined such as establishing regional depositories, providing free postage for the mailing of documents, and setting up guidelines for the disposal of unwanted documents. The last was of special interest to Hays who comments: "Then, of course, I am very much interested in this feature of disposing of useless and unwanted documents because, since we have been for 2 years now engaged in this special study of Government printing, I have come to have some sort of an awesome feeling that some day all the United States is just going to be in paper and everybody is going to disappear into a mass of it."[10] It is obvious that Hays expected that expanding the depository program might save both libraries and the government money. Later he states explicitly that it is his belief that the designation of additional depository libraries has a "twofold advantage."[11] It will first of all better serve the users of government publications. In addition, he expected that the government would be able to save money by limiting the number of publications distributed at no cost to individuals. We shall see again later that although cost was not the key factor in the decision to change the depository law, it was still carefully studied.

In 1958 and 1959 legislation to amend the depository law sponsored by Wayne Hays passed the House. The 1958 act failed in the Senate because it was introduced too late in the session for it to receive review. The 1959 act failed to receive ratification in the Senate because of certain technicalities in the bill. In both instances the Senate expressed interest and support for the basic idea of amending the depository law. Finally in 1961 virtually identical bills passed the House and Senate which would eventually become the "Depository Library Act of 1962." The 1962 hearings, the Senate report recommending it, and floor debates reveal the intent of this piece of legislation.

The hearings of March 1962 were chaired by Senator B. Everett Jordan.[12] The first witness was Congressman Wayne Hays and he once more states that the target group at which the legislation is aimed are librarians and educators, or as he describes them, "these fine people in the library and educational fields."[13] Later in his testimony, in response to a question on how many additional depositories might be designated, he describes the purpose of altering the depository laws: ". . . there have been many institutions in the last hundred years which have sprung up from nowhere. There were not even any of them established, and now we have large numbers of students who just do not have access to this service. And this is the thing we are trying to take care of."[14]

The same intent is expressed later in testimony by Senator Frank Lausche of Ohio. He directly attributes the necessity for changing the depository law to the expansion of the educational system and to changes in the way the fields of education are explored. He goes on to say: "I need not discuss the importance of education. That is generally known and requires no elucidation on my part."[15]

In the Senate Report recommending passage of the House Bill, in a section examining the inadequacies of the depository system, the subcommittee states uncategorically that the most critical problem is the need for more depository libraries: "Today, due to general population growth and the increasing shifts of population toward urban areas, such a limitation is unrealistic. The development of new colleges, universities, and research centers has further contorted the picture."[16] Considering the testimony of Hays and Lausche, and the Senate Report, one can safely conclude that Congress' intention in amending the depository law in 1962 was to assist higher education.

I should make one final point on a matter which delayed Senate approval of the bill. As in the 1956 hearings, cost was still on the minds of the Senate and House members. Senator Jordan describes it as "a very important consideration."[17] Wayne Hays, both in his testimony in the hearing and on the floor of the House just before the final passage of the 1962 act in the Senate, also emphasizes that cost is important: ". . . the new privileges being extended to the depository library system must not cost so prohibitive a price as to bog down both the Federal printing program and the depository library system."[18]

The most recent amendment of the Depository Library Act of 1962 came in 1978. In that year the law was altered so that all accredited law schools became eligible for designation as federal depositories. In the House Report recommending the legislation, the main justification presented for designating law schools is the service they provide the general public.[19] Floor debate on the amendment, however, offers a different view.[20]

Congressman Bauman of Maryland challenged the legislation as a $10 million subsidy to the nation's law schools. He attacks the bill on two points: 1.) In his experience law school libraries are not generally open to the public, but only to students, graduates, and Bar members. 2.) It is an undue burden on taxpayers. Congressman Nedzi, who was leading floor debate in favor of the bill, agreed that one could interpret it as a direct subsidy to law schools: ". . . one can look at it as an investment or as an assistance to higher education, as well as to the general public, because the public does and will have access to this material." Congressman Krebs comes to the defense of Bauman agreeing that he sees it as a direct subsidy to a segment of the educational community. Nedzi responds that the demand for designation is not high and that any problems arising from allowing law libraries into the system could be addressed as they arise. One should note in this debate the sensitivity of the opposition to the subsidizing of higher education and to the cost of the program. It is indicative of changes in the political scene. Let me now sum up.

I have argued that the number of depository libraries in academic institutions has increased over the last twenty years because it suited Congress' overall efforts to bolster higher education. I have supported this thesis by an examination of Congressional publications and have offered evidence from them. It is simplistic to think that the depository program functions primarily to serve the general informational needs of the public. In reality the primary beneficiaries are academic institutions and their patrons. Given the current economic and political circumstances, it is just as simplistic to think that Congress will continue to support the depository system without closely scrutinizing its benefits and costs. We have seen that cost was an important consideration even in the halcyon days of the 50's and 60's, and we should expect it to be even more important now.

It is useful to keep all this in mind, because today we are faced with a situation similar to the late 50's. A National Commission reports that the "educational foundations of our society are presently being eroded by a rising tide of mediocrity that threatens our very future as a nation and a people."21 Academic libraries have again entered an era in which they may argue for increased support from the federal government. However, this time the political scene is more complicated, and cutback rather than increase is fashionable. The government printing program has already felt the knife. Taking all this into account, if the library community is to retain the gains made in the last twenty years, it should be prepared to argue effectively in defense of the depository program and to provide justification for its services and uses. It must be prepared to present solid evidence in support of its claims, for Congress may no longer be willing to fund the program merely because it is said to be beneficial. Academic institutions should be specially prepared since they, more than any other group, have sought depository designation and been granted it.

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AGING OF UNCATALOGED MONOGRAPHS

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Abstract. Many librarians want to reduce the length of time between receipt of books and their availability for patron use. They believe that materials, particularly those on science and technology, lose their usefulness with age. Although timeliness has proven crucial in regard to periodical articles, is this also true for monographs? Books from the backlog in various age and subject categories have been put in circulation, and figures collected about use patterns. Preliminary data indicate that monographs, especially those on science and technology, but also those on social sciences and humanities, do lose their usefulness with age.

Keywords and Phrases. Aging, obsolescence, monographs, cataloging backlog, book use, minimal level cataloging.

Libraries often have materials waiting a considerable time between receipt and being put on the shelf for patron use. Many librarians are concerned that this delay reduces the usefulness of books to patrons. They believe that science and technology books, in particular, age quickly, whereas the age factor may be less important in the fields of social sciences and humanities.

A major goal of a library is to make materials available when they are most useful. Therefore, many people are requesting alternative cataloging methods, such as minimal level cataloging, in order to decrease the time-lag between receipt and availability. Would there be, in fact, a significant benefit to patrons, as measured by circulation statistics, in making books more quickly available? The purpose of this research was to determine whether or not length of time in the cataloging backlog affected their usefulness to patrons.

Studies conducted on science and technology materials indicate that they do lose usefulness with age. However, nearly all these studies were concerned with periodicals. In his study of the use of scientific literature by scientists, Shaw (1) shows a clear relationship between age and use. This study dealt with working scientists using internally-circulated journals. Other studies, such as those by Avramescu (2) and Griffith et al., (3) analyze citations to show age/use relationships. Again, these results come from journal articles written by established scientists and research workers. Although these studies have shown timeliness to be crucial in regard to periodical articles in the fields of science and technology, does this also hold true in regard to monographs in these areas? In contrast to the literature use of scientists, undergraduates use the library primarily to consult books for course work. (4) Therefore, is timeliness of the same importance for a general university population?

Studies of obsolescence in libraries, such as that by Chen, (5) measure the diminishing number of circulations of an item throughout its life on the library shelf, i.e. beginning with its first being made available to patrons. Can obsolescence occur even before the item becomes available? The study made by Gosnell in 1943 of publication dates of books on lists recommended for college libraries indicates that this may be so. (6)

Is the belief that library books, especially those on science and technology, lose their usefulness with age a myth or a reality? Our hypotheses are (1) that length of time in the cataloging backlog decreases the usefulness to patrons of science and technology monographs, and (2) that length of time in the backlog for monographs on other subjects does not significantly affect their usefulness to patrons. In an effort to test these hypotheses, we have selected books from the cataloging backlog, given them very minimal cataloging, and collected circulation figures to determine whether or not there is any definable pattern in relation to the age and types of books used by patrons.

The current cataloging backlog consists of approximately 5,000 volumes with a variety of difficult problems that cannot be handled in the normal workflow. Because of staff shortages, little time can be devoted to these books, and they often remain in the backlog for a considerable period of time. Our university emphasizes science and technology, and many books in the backlog belong to these categories.

From the backlog we chose 500 books in three groups: (1) 125 science and technology books published before 1979; (2) 125 recent science and technology books published between 1979 and 1982; and (3) 250 books selected using a random table. Since our randomly-selected books also included some from science and technology, the percentages in our sample are 40.5% older science and technology, 29.8% recent science and technology, 24.2% older social sciences and humanities, and 5.4% recent social sciences and humanities.

The cataloging given these books consisted of the complete title and statement of responsibility only. That is, there was title access, but no access for author or added entries, nor were subjects assigned. In addition, each book was given an abbreviated call number, consisting of the main Library of Congress class number but using the date of publication instead of book Cutter. Therefore, the books could be shelved in their general subject areas.

Records were entered on the local DataPhase circulation system, but holdings were not added to OCLC. In addition, the call numbers were added to the order slips, which are filed in the public catalog by title.

Thus, these books could be located either by information on the DataPhase terminal or in the card catalog, or they could be found by browsing the general subject area. With such limited means of access, we also were interested in how the books were located by the users. Patrons were asked to indicate how they located a particular book through a questionnaire inserted in each book.

The monographs in the project were made available for circulation during April, 1983. We intend to collect circulation statistics for them throughout a full academic year, since general patterns of circulation vary with the semesters. As of January, 1984, the data collected have been for the summer sessions and the fall semester, with information for the spring semester still to be obtained.Therefore, the figures discussed here represent a progress report and are subject to change as more data are collected.

During this period, a total of 153 books circulated: 53 older science and technology; 79 recent science and technology; 13 older social sciences and humanities; and 8 recent social sciences and humanities. However, since the number of books in these categories in the total sample are not equal, a comparison of the proportion of the books circulated with the proportion of the sample gives a more accurate picture (Table 1).

Recently-published monographs on science and technology have circulated one and three-fourths times their proportion of the sample, and older books have a circulation/sample ratio of .85. Recently- published books in the social sciences and humanities also have circulated in an equal ratio to their proportion in the sample, while older books in these fields have a very much smaller ratio, only .35.

Table 1. Proportions of Books Circulated

Category	% Sample	% Circulation	Circulation-Sample Ratio
Older S/T	40.5	34.6	.85
Recent S/T	29.8	51.6	1.73
Older SS/H	24.2	8.5	.35
Recent SS/H	5.2	5.2	1.00

The preference for more recently-published books is confirmed by the figures detailed by year of publication (Table 2). Recent books account for 56.8% of those circulated, whereas their proportion in the sample is 35.5%. Books from both of the two most recent years have circulated more than twice their proportions of the sample. In general, there is a consistent trend for fewer circulations as the age of the book increases. Over 90% of the books circulated were published in the last ten years. Although the sample included 16.5% published pre-1973, these years accounted for only 9.8% of the circulated books. The earliest year of publication for a circulated book was 1959, whereas the sample includes books from all the decades of the Twentieth Century, and even one pre-1900 book.

Table 2. Circulations by Year of Publication

Year	% Sample	% Circulation	Circulation-Sample Ratio
1982	2.6	6.5	2.50
1981	6.3	18.3	2.90
1980	10.9	15.0	1.38
1979	15.7	17.0	1.08
1978	15.3	11.1	.73
1977	12.2	9.8	.80
1976	7.5	5.2	.69
1975	5.0	2.6	.52
1974	5.4	3.9	.72
1973	2.6	.7	.27

In the questionnaire about how these books were located, patrons were asked to specify if location was by browsing, through the DataPhase terminal, through the card catalog, or by other means, which they were asked to specify. There has been a high return on these questionnaires: 158 for 153 books circulated. (Since some books have not yet been returned, their circulation statistics have not yet been counted.) The considerable majority was by browsing: 70.3%. The card catalog was used by 22.2%, and the DataPhase terminal by only 3.2%. (Public use of these terminals is still very recent. As more terminals are acquired and as patrons become more acquainted with them, it is likely that their use will increase.) Other means, such as asking at the reference desk or at the Interlibrary Loan Service, resulted in 4.4% of the finds.

In conclusion, our data so far indicate (1) that recently-published monographs on science and technology are circulating considerably more than older books, and (2) that recent books in the fields of social sciences and humanities also circulate more that older ones. Books published in the most recent four year circulate considerably more than those published earlier. Thus, long delays in cataloging are a disservice to patrons and reduce the value of our expensive resources, since thev will be used less fully than their potential.

ADDENDUM

Our project is not a study in minimal level cataloging--we have used it merely as a tool. However, since many libraries are considering the use of minimal level cataloging as a way of reducing backlogs, we wish to consider some aspects of it in the light of our experience. A recently-published report from the Centre for Catalogue Research on short and full entry catalogs found that patrons usually were successful in finding an item using a short entry catalog. The proportion of failures due to lack of added entries and series tracings was relatively small (3-5%). (7) Their minimal level records included author (sometimes in less than full form) as well as title access. However, it is important to note that their studies were conducted with author-title catalogs only, and not subject catalogs. In the majority of these cases, the patron was looking for a specific known item, or for titles by a given author.

In the minimum level cataloging at the Library of Congress, access is by title and correctly-established main entry, but no subject analysis is done, nor are call numbers assigned. Instead, a fixed location number is given, which means that minimally-cataloged books will be shelved separately from classed books.

One impetus for the interest in minimal level cataloging is the need to reduce the cost of cataloging. The experiments of the Centre for Catalogue Research show that short entry cataloging can reduce the time needed for descriptive cataloging by 50%. (8) Again, they did not investigate subject analysis or classification, which can account for 40% of cataloging time--the reason for the Library of Congress' omission of these elements from its minimal level cataloging.

The Library of Congress and other libraries are using minimal level cataloging for materials that they consider of little potential use, and on the premise that some access is better than none. In our particular situation, there always has been "some" access--title access--for non-cataloged items through the order forms in the public catalog. On request from a patron, such an item will be cataloged immediately and made available. However, there is no way of knowing if a patron notices such an item but just waits for its eventual appearance instead of requesting it. (Only two of our circulated books were found by patron request.) Other libraries may have similar procedures, or have data on automated acquisitions systems available for public searching, or some other tvpe of access for uncataloged books. For example, the University of Wisconsin--Madison Library makes some books awaiting cataloging available for circulation with short temporary records, though with no call number. (9)

Most of our circulated books were found by browsing, that is, a kind of subject search. The Library of Congress does not have patrons browsing its collections, but an academic library must serve a varied population, including those relatively unsophisticated in library use, who do browse. Furthermore, reports about on-line catalog searches indicate that over 50% of them are subject searches. (10) The omission of subject analysis in minimally-cataloged materials of potentially little use may be justified, but is more questionable in regard to items with higher potential use. Since a reduction in the fullness of descriptive cataloging does not adversely affect the overall effectiveness of the record as a finding tool on the author/title side, we might postulate that less that full subject analysis might not greatly affect findability on the subject side, but more investigation needs to be done. Another possibility is providing a different type of subject access, such as key-word searching in an on-line environment.

To expedite the availability of materials to patrons in the face of backlogs, staff shortages, and economic constraints, less than full level cataloging should be given serious consideration. However, each library will need to evaluate the types of materials to be considered for this type of cataloging and the elements in the record that should be retained in the light of its own particular situation and the needs of its own particular clientele.

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A SURVEY OF LIBRARY ACQUISITIONS' FISCAL PROBLEMS, 1980-1982

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Abstract. One hundred university libraries, medium sized, urban and state-supported, were surveyed for the years 1980-1982, to determine changes in their materials' budgets, and methods employed to help with budgetary problems. Particular interest was placed on problems with serial and periodical expenditures. Having assumed that academic libraries had experienced major budget cuts and massive serial cancellations because of budgetary restraints, it was found that most libraries had kept up with inflation and cancelled only a small percentage of their serials while continuing to order new titles.

Since our library has experienced fiscal problems in the area of acquisitions, we were interested in how other libraries had fared. It was our assumption that academic libraries had suffered greatly over the last few years in the areas of collection building and the purchasing of library materials. We believed that budgets for library materials were being cut in many cases, that serial titles were having to be cancelled on a large scale and that new titles could not be purchased because of budgetary restraints. Our survey was to gather information on how bad it really was, and how libraries were coping with the situation.

By the beginning of the 1970's, educational institutions had definitely fallen financially from their ivory towers and much of the government support and funding, enjoyed in the 1960's, was drastically reduced. At the end of the Vietnam War, the nation's economy was in serious trouble and inflation was eating away at the value of the dollar. The nation's attitudes towards education were also shifting, and it was no longer every high school student's dream or goal to go to college. Instead, emphasis was leaning towards technical and trade schools where the length and cost of training were far less and jobs obtained afterwards often paid higher starting salaries than those obtained with a bachelor's degree. The situation was devastating to colleges and universities and unfortunately has not really improved as we continue into the 1980's.

Even though libraries are generally considered the backbone of educational teaching and research, they have hardly been spared from the crisis. Although inflation appears to be slowing down, the cost of library materials still spirals up. Even if the economy continues to improve, how do we catch up from a decade of anemic collection building? The steadily increasing cost of serial publications over the last decade has been one of the most widely discussed problems and has been possibly the major budgetary problem for university libraries. With budgets being cut or at least not increased, many libraries have been left with only two choices: cancel serial titles or buy fewer and fewer monographs because of the increasing serial expenditures.

In this study we surveyed libraries comparable to our own size. One hundred medium sized, urban and state supported university libraries were surveyed to determine: 1) the extent of an acquisitions' materials budget cut or increase over the last several years; 2) extent of cancellations and/or decrease in the ordering of serial subscriptions; 3) change in the percentage of expenditures between books and serials; 4) extent of cooperative purchasing; and, 5) methods employed to help with budgetary problems.

The response rate to the survey was excellent, 54 returns. All questions on the survey covered the years 1980, 1981, and 1982. The first question read: "Has your library experienced a book budget cut or increase within the last three years?" The responses to the first question were divided into five categories: 1) libraries whose responses could not be analyzed for the question; 2) libraries reporting no change, neither a cut nor an increase; 3) libraries reporting cuts and increases over the three year span; 4) libraries reporting cuts in their budgets; and, 5) libraries reporting increases in their budgets.

In total, seven questionnaires or 13% of the return could not be analyzed for the first question. Four libraries, 7% of the return, reported no change. Eighteen libraries (33% of the return) reported both cuts and increases over the period covered. Interestingly, only two libraries, 4%, reported only cuts for 1980 through 1982. The cuts for these two libraries ranged from 2% to 23% of their budgets. Twenty-three libraries, or 43% of the returns, reported increases in their budgets. The average percentage increases for libraries who received budget increases over the three years were 14.13% for 1980, 9.84% for 1981, and 12.80% for 1982. The average percentage of budget cuts was 10.37% for 1980, 6.06% for 1981, and 8.55% for 1982. See Appendix A for a statistical chart of these findings. The STATISTICAL REFERENCE INDEX listed the average percentage of inflation rate for the national economy as being 13.5% for 1980, 10.4% for 1981, and 7.1% for 1982. Comparing the national inflation rates with the libraries' percentage of increases for the same years, most libraries were able to keep up with inflation. It appears from these results that the number of libraries receiving increases in their budgets also gradually increased over the three years. The percentages for budget cuts remained fairly constant for 1980-82, with the same libraries receiving cuts over the three year period. Perhaps the same libraries continued to receive cuts because of their geographical location, since some areas of the country's economy were worse off than others during the years covered. However, this cannot be determined since the reporting libraries and their locations were anonymous. Two libraries reported in comments that they felt they were part of the lucky few who had continued to get good financial support from their administrations.

Questions two, three and four, concerning serial publications, separated serials into two categories: periodical subscriptions and serial standing orders. In the cover letter that was sent with the surveys, the term "serial standing order" was defined as "all serials currently received other than periodicals." We did not define the term "periodical subscription."

The second question read: "Has your library had to stop ordering new or added periodical subscriptions because of budgetary restraints over the last three years?" Of the 54 respondents, 24 libraries (44%) said yes and 30 libraries (56%) said no. The third question read: "Has your library had to stop ordering new or added serial standing orders over the last three years because of budgetary restraints?" The results from this question were identical to those of question two. Question four of the survey concerned cancellations and read: "Has your library had to cancel periodical subscriptions and/or serial standing orders over the last three years because of budgetary restraints?" The second part of question four read: "If yes, what percentage of your titles have been cancelled?" The results of this question were the exact reverse of the answers given for questions two and three. Thirty librarians (56%) indicated they had to cancel titles and 24 (44%) said they had not. The average percentage of the number of periodicals cancelled were 5.8% for 1980, 5.5% for 1981, and 5.7% for 1982. The average percent of the number of serial standing orders cancelled were 4.9% for 1980, 12.8% for 1981, and 6.4% for 1982. See Appendix B for a statistical chart of these findings.

Even though the majority of the libraries reporting did not stop ordering new or added titles, the majority did have to cancel titles because of budgetary problems. Most libraries, it appears, probably cancelled titles to enable them to buy new ones. (One response that a library had cancelled 100% of its periodicals and serials in 1981, and then reinstated them, was not used in calculating the cancellation percentages.) Two libraries reported that their major cancellations had taken place before the years being surveyed. Three libraries reported facing major periodical and serial cancellations at present or within the coming year. Three libraries reported that they can only add a new title by dropping one. The costs of serial publications have steadily increased over the years surveyed. Brown's and Phillips' serial price indexes showed these increases as 13.7% for 1980, 13.3% for 1981, and 14.5% for 1982. These inflation increases were even higher than the national economy's for the same years. From this survey the average percentage of cancellations over the years covered is 6.9%. From comments from the participants, cancellations will most likely continue.

In connection with question four, we were also interested in the autonomy of libraries in making cancellation decisions. The libraries that reported that they had cancelled titles were also asked if these cancellations were made: a) in consultation with their university's general faculty; b) in consultation with their librarians only; c) in consultation with both of these groups; or d) with persons other than these two groups. Twenty-four libraries (44%) reported that their cancellations were made in consultation with their general faculty as well as with their librarians. One library consulted its general faculty and one library consulted only its librarians. The other groups listed as being consulted were the "previous Acquisitions Librarian," the "Library Advisory Committee," and the "University Administration."

Our survey was also interested in the division of libraries' percentage of expenditures between books and serials. The fifth question of the survey read: "Has the percentage of your expenditures between books and subscriptions and standing orders changed over the last three years?" Of the respondents 78% or 42 libraries reported a change between these two expenditures, and 12 libraries (22%) reported no change. The average percentage of book expenditures over the years covered were 39.8% for 1980, 36.5% for 1981, and 37.8% for 1982. The percentage of serial expenditures were 58.0% for 1980, 59.9% for 1981, and 59.1% for 1982. See Appendix C for a statistical chart of these findings.

The libraries who reported that there had been no change in their expenditures between books and serials over the years covered were asked their present percentage of expenditures. Libraries with no change in their expenditures report that they presently spend an average of 44.4% of their materials budget on books and 52.6% on serials. The percentages reported above do not add up to 100%. Several libraries reported that binding was part of their materials budget, but was not reported in their percentages. Also, the number of reporting libraries does not add up to 54, the total number of respondents. This discrepancy is explained by the fact that not all libraries reported their budget percentages.

From the survey's findings, the reporting libraries' average percentage of expenditures is 39.6% for books and 57.4% for serials. Also from the findings, the percentages of expenditures between books and serials has remained fairly constant. This would seem to indicate little or no problems with the percentages expended for serials to cover inflating serial prices.

The last two questions of the survey dealt with how libraries that are having budgetary problems are dealing with the situation. Question six read: "Because of budgetary problems, has your library entered into cooperative purchasing of library materials with other libraries?" The results of this question were discouraging for the concept of cooperative purchasing: only 14 libraries (26%) answered yes. Forty (74%) answered no. Of the 14 who did answer yes, most of their replies were qualified, stating that it was done to a very limited and informal degree. Area union catalogs were checked before making large, expensive purchases, just to see who else might have the title. The libraries that answered yes were also asked what type of library they purchased cooperatively with: a) other college and university libraries; b) public libraries; c) county or state libraries; and, d) some other group. Of the 14 libraries that did do some type of cooperative purchasing, nine said they did so with other college and university libraries; two said they did so with public libraries; and, one said they did so with county or state libraries. Three "other" responses were given: cooperative agreements with the Center for Research Libraries, a media consortium, and one library listed "metro" libraries. One librarian commented that: "To 'sell' cooperative purchasing or any other aspects of cooperation in this state is like trying to 'sell' the Beach Boys to Watt." All in all, the survey reveals that very little is being done in university libraries as far as the concept of cooperative purchasing goes, and that what is done is rarely enthusiastically received or necessarily beneficial.

The last question of our survey read: "Other than cutting back the ordering of books and serials and cooperative purchasing, what other method has your library employed to help with its budgetary problems over the last three years? (e.g., converting periodicals to microform, online access in lieu of hard copy purchase)." Replies to this question were varied. Nineteen libraries reported that they were converting periodical titles to a microform in order to help with serial expenditures. Eleven libraries said they were increasing their gifts program. This included seeking private funding and asking faculty to donate their office copies of periodicals, as well as increasing their gifts and exchanges programs. Six libraries said they were cancelling some of their indexes and abstracts because of online access to indexing services. Five libraries were cutting back on their binding costs and not binding little-used titles. Four libraries reported using interlibrary loan more in lieu of purchasing titles; using vendors who offered high discounts; and joining the Center for Research Libraries. One library said it was dropping its membership in CRL to save money. Several other responses given, but not cited as frequently as the above were: cutting back on personnel and hours open; cutting back on special equipment; cutting travel money; using USBE more; limiting approval plan orders; cancelling duplicate periodical titles; cutting back on microforms; and sending branch libraries older editions of titles when the main library purchased a later edition.

The results of our survey were not exactly what we anticipated when we decided to conduct this study. We had assumed that libraries had suffered greatly over the last three years because of budgetary restraints, high inflation, no increased budgets, and massive serial cancellations. However, what we found was that, even though libraries did not get all that they wanted, they were at least keeping up with inflation and hard economic times. On the average, most libraries received budget increases over the years surveyed fairly equal to the national inflation rate for the years 1980 and 1981. In 1982, these libraries actually received budget increases above the national inflation rate.

We also found that most libraries (56%) had not had to stop ordering new or added periodical and serial titles. However, the same percentage of libraries had had to cancel titles. Even though the majority of the libraries had cancelled titles, they were able to order new ones. It is possible that, with the inflation rate of serials for the years covered being a little higher than the national economic inflation rate, these libraries were able to order new titles by dropping others. Also indicating that libraries were at least keeping up with inflation with their buying power was the proportion of expenditures between books and serials for the same period. The percentages between these two remained fairly constant. One library told us in a written rerponse, "A collection development program should be less concerned about the mix of books to periodicals than with the realistic needs of the curriculum and research programs of a given academic institution." We certainly agree with this comment, but believe it misses the point of this survey. We wanted to gather some measurable data regarding libraries' difficulties over the years surveyed to meet the "realistic needs of the curriculum and research programs."

Libraries were certainly having problems the last three years, and the problems were not just restricted to library acquisitions. From the comments made on the surveys, it was obvious that in many cases, even though libraries did not have major budget cuts and massive serial cancellations, they paid for it in other ways. Personnel were cut in some cases, travel and equipment money cut, and hours open to the public were reduced, etc. In summary, the last three years have certainly been difficult for the libraries we surveyed, but for most of them were not devastating.

APPENDIX A: AVERAGE PERCENTAGE OF BUDGET INCREASES AND CUTS OF LIBRARIES SURVEYED

YEAR	AVERAGE % INCREASE	NO. OF LIBRARIES	AVERAGE % CUT	NO. OF LIBRARIES
1980	14.13	23	10.37	9
1981	9.84	30	6.06	7
1982	12.80	34	8.55	8

APPENDIX B: AVERAGE PERCENTAGE OF PERIODICALS AND SERIALS CANCELLED OF LIBRARIES SURVEYED

PERIODICALS CANCELLED

YEAR	PERCENTAGE CANCELLED	NO. OF LIBRARIES
1980	5.8	18
1981	5.5	12
1982	5.7	14

SERIAL STANDING ORDERS CANCELLED

1980	4.9	9
1981	12.8	8
1982	6.4	7

APPENDIX C: AVERAGE PERCENTAGE OF EXPENDITURES BETWEEN BOOKS AND SERIALS OF LIBRARIES SURVEYED

BOOKS

YEAR	% OF EXPENDITURES	NO. OF LIBRARIES
1980	39.8	30
1981	36.5	32
1982	37.8	32

SERIALS

1980	58.0	30
1981	59.9	32
1982	59.1	32

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EMPIRICAL MODELS OF LIBRARY ACQUISITIONS: A LONGITUDINAL STUDY

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Abstract. Because of increasingly scarce resources, university and library administrators are concerned about the effective expenditure of acquisitions funds.

The study employed several simple models to examine the relationship between acquisitions and book circulation. Key findings:

(1) Acquisitions appear to anticipate demand on both a short term and a longer term basis; and (2) circulation data do not appear to have a strong influcence on what materials are purchased for the collections.

Colleges and universities, and their libraries, have coped with rapidly spiraling costs juxtaposed with static or declining income. As the inflation rate for books and periodicals has burgeoned, difficult decisions regarding the allocation of scarce resources are required. To complicate the decisions, the choices are too frequently among alternatives which are equally desirable, beneficial, necessary--or critical.

The cost of library materials is a significant element in any library's budget. It is imperative that librarians and administrators understand the implications and effects of acquisitions budgetary decisions and that maximum value be derived from the expenditure of acquisitions funds. One important gauge of the value received from acquisitions expenditures is the use of the library collections. An important question emanating from the observation and measurement of use is whether student demand for library books impacts upon library acquisitions. A related question is whether the acquisitions rate (influx of new materials), broken down by general subject according to the Library of Congress classification scheme, can create demands for books as shown by the circulation data.

It is a cliché, but one with some truth, that the library is the heart of the college or university. If the heart--library--is healthy, it is one which both responds to demands as well as anticipates those demands. The purpose of this study is to present models of the relationship between book circulation and library acquisitions, or supply and demand.

An important feature of the study is the examination of the dynamics between what is purchased (acquisitions) and what is used (circulation). Such exploratory work is crucial in investigating the effectiveness of allocating scarce library resources. Since strong, appropriate library collections are crucial to the continued intellectual vitality of the university or college, the rational distribution and effective expenditure of library acquisitions funds are of paramount importance.

PREVIOUS RESEARCH

Previous studies have focused upon various aspects of library collection use. A number of authors (Burns[1], Jenks[2], McGrath[3]) have explored how various components of library collections have been used. McGrath[4], and Russell, Sturgeon, Greene, and Prather[5] have explored the relationship between the students' majors and their book check-out activities. Both studies indicated systematic patterns of library use by major field of study.

In the specific area of library acquisitions, Schad[6] reviews and critiques various allocation formulas for acquisitions. Werking and Getchell[7] and McGrath[8] review ways of determining book allocation models. A more elaborate model for allocation of acquisition funds has been developed by Gold[9] who used student credit hours by department as the predictor variable. Welwood[10] used three variables by discipline, enrollment, circulation, and number of courses. Pierce[11] looked at size of department, local availability of resources, subject characteristics and demands, and relative price of materials. McPheron[12] developed a model that combines a complex of relationships between present collection, disciplines, and expected needs for the future. This model mixes objective data with subjective methods.

LIMITATIONS OF THE STUDY

The demand for library books was measured by the automated circulation system and was limited to student borrowers. There was no attempt to measure use of materials which are not recorded by the circulation system. The study is based on the library of a single institution. That institution, however, is large enough and sufficiently diverse to share many charac teristics with a number of institutions across the country.

MODELS

Several simple models of the relationship between acquisitions, or number of new books acquired, and book circulation are employed. Both sets of data are grouped by major Library of Congress classifications. These models are given in Figure I. The basic rationale for constructing these simple models is not that they are totally congruent with reality, but rather, that they will allow an exploration of important empirical relationships. These data are for two time periods separated by one year. Acquisitions data are from FY80 and FY82; circulation data are from subsequent Fall quarters: Fall quarter 1980, and Fall quarter 1982. A simple path analysis is shown for the six models. The path coefficients along with the standard arrows are given for the path in Figure I. These path coefficients range from .88 to .99, indicating that the empirical relationships are quite strong and deserve further exploration. A close investigation of the 6 models using regression techniques was also done (Table 1). The regressions use both data expressed in actual counts and also reexpressed in natural logarithms which allow computation of elasticities of demand. The regression in Table 1 shows the largest regression coefficient to be between acquisitions 1981-1982 and circulation 1982. The coefficient of 2.78 can be interpreted to mean that for every 100 volumes acquired, there were 278 books checked out in the same subject area Fall quarter. This can be compared with Model VI where acquisitions 1979-1980 were related to circulation 1980 with a coefficient 2.33. There appears to be a slightly higher functional relationship for the 1982 data over the 1980 data.

The key model for examining the influence of acquisitions rate on circulation is Model I. In this model, acquisitions 1979-1980 are related to circulation in Fall 1982. Here the regressional coefficient is 2.20 which shows that for every one hundred volumes acquired in 1979-1980 there were 220 volumes circulated in the same field in 1982. In Model III where circulation in Fall 1980 is related to circulation in Fall 1982, the coef ficient of .91 indicates that there had been a decline in circulation over the two year period. For every hundred books checked out in Fall 1980 there were 91 circulated in 1982.

The specific question of the relationship of circulation as a demand for acquisitions is investigated using Model IV. Here circulation in Fall 1980 is related to acquisitions during 1981-1982. This resulted in the smallest coefficient found, .26. This coefficient suggests that for every one hundred books checked out by subject area in 1980 there were 26 acquisitions during 1981-1982.

To look at the elasticities associated with the 6 models, the data were reexpressed in natural logarithms (See Table 2). Using the logarithm model we can determine the elasticity of one variable in respect to another[13]. This was done for each of the six models. A coefficient near 1 means that a 100% change in one variable is associated with a 100% change in the other variable that is directly proportional. For instance, in Model I the coefficient is 1.13. An interpretation of this coefficient would be that a 100% change in acquisitions for 1979-1980 would be associated with a 113% change in circulation activity in Fall 1982. On the other hand, circulation in Fall 1980 is associated with acquisitions in 1981-1982 with a coefficient of .64. Similarly, interpretation can be made that a 100% change in circulation would be associated with 64% change in acquisitions.

CONCLUSIONS AND APPLICATIONS

The equitable allocation of acquisitions funds among competing subject areas is a continuing challenge for librarians. A contaminant which does not yield to brief analysis is the political and intellectual climate of an institution; it is an overt factor in most institutions, as it is in this study. The allocation of scarce acquisitions dollars must address imme diate competing needs, as well as long term gaps in a collection. The research clearly shows that in one institution for the two years examined, the selection of library materials anticipated demand from student users of the university library on both a long term and short term basis. Had the circulation data been the key predictor for future acquisitions deci sions, the matching of user need with library materials would have been less precise. Selection of materials, when performed by librarians and teaching faculty attuned to local emphases, requirements, and a thorough grounding in the eccentricities of a single institution, works well.

The acquisitions budget in this single institution, although increased annually, bought fewer books in FY82 than it purchased in FY80; Table I shows clearly, however, that the materials purchased in FY82 (which were fewer in number) were more precisely a fit for student book demands during the subsequent Fall quarter than were those materials selected in FY80.

This paper has presented empirical relationships between various supplies (acquisitions) and demands (circulation). It is not the intent of the research to identify or discuss the need for a single title. In examining gross totals of new books grouped by Library of Congress classification and added to the collection, the authors assumed that a student with a need for library books left the library with something in the subject area of his search--regardless of whether he found the specific title he sought. It is not, moreover, the purpose of the research to model totally the book acquisitions process; rather, the researchers have explored only one component of that process. Specifically, for two separate years with subsequent Fall quarters, the relationships between book acquisitions and the circulation of books grouped by Library of Congress subject areas were examined.

The need for expertise in the selection of materials is underscored by the findings of the study. Such data as are generated from the automated circulation system would be insufficient to determine the allocation of acquisitions funds or even to target specific areas for purchase. While the circulation data can be helpful, they must be balanced with experienced judgment. The findings argue against the formulation of a mechanical model for the allocation of acquisitions funds. The informed attitudes and experiences of librarians and bibliophilic teaching faculty in their daily encounters with questions of acquisitions and collection development are the most valuable resource in the library acquisitions process.

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Table 1

Regression Equations of Models of Book Acquisitions and Book Circulation Over Time

N=16

Model	Independent Variable	Dependent Variable	Regression Coefficient	Constant Term	R^2	Standard Error of Estimate
I	Acquisitions 1979-80	Circulation 1982	2.20 (±.24)	-537 (±591)	.85	±1543
II	Acquisitions 1981-82	Circulation 1982	2.78 (±.36)	-319 (±650)	.81	±1751
III	Circulation 1980	Circulation 1982	.91 (±.04)	-403 (±231)	.97	± 645
IV	Circulation 1980	Acquisitions 1981-82	.26 (±.04)	233 (±218)	.78	± 609
V	Acquisitions 1979-80	Acquisitions 1981-82	.76 (±.03)	- 63 (± 73)	.98	± 189
VI	Acquisitions 1979-80	Circulation 1980	2.33 (±.30)	- 85 (±734)	.81	±1916

Table 2

Regression Equations of Models of Book Acquisitions and Book Circulation Over Time Log Reexpression

N=16

Model	Independent Variable	Dependent Variable	Regression Coefficient	Constant Term	R^2	Standard Error of Estimate
I	Acquisitions 1979-80	Circulation 1982	1.13 (±.23)	-.66 (±1.66)	.63	±.86
II	Acquisitions 1981-82	Circulation 1982	1.01 (±.23)	.57 (±1.55)	.59	±.91
III	Circulation 1980	Circulation 1982	1.03 (±.07)	-.55 (± .5[illegible])	.95	±.33
IV	Circulation 1980	Acquisitions 1981-82	.64 (±.13)	1.83 (±1.02)	.63	±.66
V	Acquisitions 1979-80	Acquisitions 1981-82	1.05 (±.06)	-.76 (± .44)	.95	±.23
VI	Acquisitions 1979-80	Circulation 1980	1.09 (±.21)	-.08 (±1.50)	.66	±.78

Figure 1

Path Analysis of
Models of Book Acquisitions and
Book Circulation Over Time
N=16

Model	Independent Variable		Dependent Variables
I	Acquisitions 1979-1980	.92 (±.10) →	Circulation 1982
II	Acquisitions 1981-1982	.90 (±.12) →	Circulation 1982
III	Circulation 1980	.99 (±.04) →	Circulation 1982
IV	Circulation 1980	.88 (±.12) →	Acquisitions 1981-1982
V	Acquisitions 1979-1980	.99 (±.04) →	Acquisitions 1981-1982
VI	Acquisitions 1979-1980	.90 (±.12) →	Circulation 1980

PRESERVATION AND CONSERVATION AT THE OBERLIN COLLEGE LIBRARY

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Abstract. In April 1982 the position of Curator of Special Collections and Preservation was created at the Oberlin College Library and staffed by a paraprofessional. Since then, with a small budget and strong administrative support, a concerted attack on the problems of preservation and conservation of library materials has been launched. Environmental controls have been monitored and improved and mending of books is being done using archivally correct methods. Student and permanent staff have been made aware of and taught correct procedures for handling books.

Keywords and Phrases. Conservation, preservation, paraprofessional, archivally correct mending, environmental controls, binding options.

The realities of the problem of preserving books in the 20th century are so horrendous that they easily outweigh and overtake the myth that "it won't happen to us, only to them over there". After all, who could conjure worse nightmares than the sight of most books written after 1850 disintegrating slowly to dust, or many books published within the past 20 years falling apart on the first reading? Superimpose on that vision, the destruction wreaked on books by the mending methods of libraries, unknowingly and with no malice aforethought, and user activities such as writing in, nibbling over, photocopying energetically, and selectively razoring pages, and such a picture of doom for books and libraries emerges, that everyone, it seems, must be forced to take action. What useful action can a small to medium sized academic library take?

Until fairly recently, the answer would have been little or nothing. However, prodded by pioneers in the field and a growing body of literature on preservation and conservation, a library can start a bootstrap operation and make at least some headway against the almost insurmountable odds. Just during 1983 several manuals outlining conservation procedures have appeared [1,2,3,4] adding to the material already available for assessing preservation needs and helping libraries devise timetables and priorities to follow [5,6]. If every library with a preservation problem (which is every library in this country) were to decide to address the problem this year, very few would be able to find trained people to hire. There are not enough trained personnel to staff available positions, now, nor will there be for a long time to come because of the lack of training programs. Therefore, preservationists/conservationists are going to have to be amateurs, willing and eager to train themselves on the job, with the help of the above mentioned books and by going to workshops and classes whenever possible. These potential conservators can come from the ranks of librarians or paraprofessionals.

At Oberlin College the decision was made by the Director of Libraries, William Moffett, to hire a paraprofessional to fill a newly created job -- Curator of Special Collections and Preservation. I am the first appointee to this position and have worked since April 1982. I would like to review what has been accomplished since then.

I will start with preservation efforts, usually defined as actions that prevent or slow down deterioration of materials, and then go to conservation, which is the fixing or mending of that which needs it. Until the dog days of humid northeastern Ohio July struck us, I would have said we were doing passably well in preservation, at least in our special collections area. Unfortunately, the 90° F. and 90% relative humidity days showed us that our humidity controls in our "climate controlled" library could not deal with such extremes. Before my arrival we would not have had a record of the fluctuations taking place, and probably would not have been fully aware of them. Our new hygrothermograph provided incontrovertible evidence to present to Buildings and Grounds to spur remedial action. They responded and the wild swings in relative humidity were smoothed to more acceptable levels simply by not turning blowers on when the cooling system was not in operation. Before we bought our own instrument, the B & G crew put a hygrothermograph in a location for a week or two, often at times when the temperature and relative humidity tended to be stable outside and therefore inside, and then would smugly state that all was well. Since our machine started recording constantly and regularly, the electricians and cooling engineers have spent many hours over here adjusting fans, blowers, RH controls and thermostats to compensate for both winter dryness and summer moisture. For the most part we seem to be able to keep both temperature and relative humidity at acceptable levels in special collections, but our goal is to get as well controlled a system as the computer room has.

This is an example of a relatively small expenditure of money reaping some benefits and the effect one person can have by concentrating on a single problem, especially one which tends to drop through the cracks of administrative flow charts. It is clear that a person does not need to be a librarian or a conservator to effect this kind of action. A Director of Libraries eager to acquire ammunition in his quest for preservation funds and fully committed to preservation is essential, and I am fortunate in working for such a person.

Another example of a problem that takes time and money to correct is the sunlight which streams into the long bank of south facing windows in our less than five year old Art Library. It makes the room look very cheerful on cold winter days, but plays havoc with the books it bathes in ultra-violet light. The library was designed as part of a new wing added to the Art Museum by a very well known and much bemedalled architect. The huge south facing windows are but one of the many misdesigned elements affecting preservation in this library. There are venetian blinds but many students like light and sunshine, and their study carrels are located right under the windows, so they raise or open the blinds when working. We thought the perfect solution was UV sunscreen permanently affixed to the windows, but climate and double glazed windows destroyed that solution. We now have an estimate for free hanging, firmly anchored, tamper proof shades which we hope to have installed soon.

Sunlight is not the only culprit shedding UV rays on our books, fluorescent lights are just as bad and they are ubiquitous throughout all our libraries. We have undertaken a long range project of covering all of them with shields. The Art Library, being most heavily bombarded by UV had the highest priority, and the lights there have been covered.

Now, to conservation, the fixing of that which is broken. We have instituted a vigorous mending program staffed entirely by students on work/study, trained by a professional bookbinder and conservator, Karen Esper, who came out to Oberlin from Cleveland to run workshops on all aspects of mending. Most of the training took place during the first summer of the program, the summer of 1982, but binding and casing of books had to wait for our month-long January term. Since then, those of us who participated in the classes have taught the newcomers our skills, with help from the manuals mentioned earlier, as well as the excellent series put out by Yale University.[7] To aid the students newly hired for the summer of 1983, I wrote our own Preservation Handbook which has since been corrected and revised as needed.

As with other libraries, before we could implement a new program, we had to discontinue our old destructive methods of mending which consisted of slapping "Scotch" tape, "Demco" library tape, or other pressure sensitive tapes on books, inside and out. It breaks my heart every time I see one of our books, especially an old book, which has been so cruelly treated. We now use only archivally correct procedures both in preparations and in mending.

The greatest bulk of the mending gets done in the summer, when, for two years, five students have worked full-time for about ten weeks each. By having this concentrated work experience, some become very proficient at the tasks. They can do highly creditable jobs of rebinding and recasing books, not to mention the more mundane tasks of tightening loose cases, repairing or replacing spines, mending paper, tipping in loose pages, pamphlet binding and phase boxing. When college is in session, the students' hours per week drop to an average of 6 or 7, and perforce, less gets done.

Creating a whole new department meant finding a place for it. The first summer we worked in the stacks, in a nice, naturally lighted area, usually used for studying. When classes resumed in the fall, we moved down to the basement of the building, to the Receiving Room, where there was extra shelf space and adequate floor space for the equipment we needed. We bought quite a lot of portable small bindery equipment and tools for the first summer's work, but were not able to locate a good second hand board shears, a glorified paper cutter and an essential tool for book-binding, until fall. Once it was installed, our main work area had to remain near it, and so, mending is permanently located, to my distress, but not the students', in the windowless lower level.

At the "Library Preservation: The Administrative Challenge" conference held at the Library of Congress in April 1983, as reported in the RTSD Newsletter, Rutherford D. Rogers, University Librarian of Yale University is quoted as having identified five preservation areas where libraries must spend funds. They are "c[6]ontrolling environmental conditions within library buildings;

substituting outmoded repair techniques with archivally sound ones; using commercial binding services in a sophisticated way; establishing mechanisms for replacing and reproducing deteriorated items; developing plans to help prevent and recover from disasters; and providing preservation training for staff and users as well as staff development opportunities for conservation/preservation personnel."[8] I have described briefly how we approached two of these areas, and now will focus on their costs.

The first, controlling the environment, is hard to assess accurately because some costs are hidden in general Buildings and Grounds housekeeping accounts. Those items which have been ordered through the Preservation department, such as the hygrothermograph and fluorescent light UV shields, were less than $1,000 so far, but approximately $10,000 more needs to be invested in protection against ultraviolet light. Complete and effective climate controls in all the libraries, including temperature, relative humidity, air cleaners, and roof repairs to eliminate leaks, will be a major capital expenditure for which we are only now beginning to plan.

The cost of conservation I can more accurately assess because I do all the ordering myself. Major equipment, including the board shears, came to about $1,800, expendable supplies to slightly over $3,000 for the first sixteen months of the program. We were able to find quite a few items, such as presses, at the college, left from past mending programs. The cost of labor, not counting my salary, was $15,000 for the two summers and $3,000 for the winter. The workshops conducted by the professional binder came to $1,000. In this time (16 months) 4,800 books were mended with 6,500 operations done on them. This averages out to $3.85 a book and $2.85 an operation. Like all averages, it is deceptive because a book which is rebound can take four or five hours or more, especially if every signature needs reinforcement, while a torn page can be fixed in 10 minutes. Not shown in these averages, either, is the time needed to train people in the skills necessary, for which they are paid, of course. I would estimate that 10 to 13% of a summer is spent in training, a very great incentive to hire sophomores and freshmen and keep them on. I have been fortunate in this respect, and four of the initial five workers are still mending, although only two remained a second summer. It is important to note that all the students are on work/study and would have to be employed by the College somewhere, in some capacity. Better by far for them to learn a skill and a trade than to "sling hash", as they call it, for the food service. Nevertheless, the program can and should be made more cost effective, and I am working on streamlining operations under the inspiration of a visit to John Dean's Collections Maintenance Department in the Johns Hopkins University libraries.

A monumental project we have undertaken in the past few months is very cost effective since it relies on volunteer labor. We have replaced over one thousand acidic envelopes and pam binders in our special collections with acid free buffered envelopes and "Hollinger" boxes, not only for an improvement in appearance of the items, but more importantly, increased hope for their survival. Our important anti-slavery collection is completely converted and a beginning has been made on Oberliniana.

We have mended our ways in some of the other activities Mr. Rogers named, such as the use of commercial binderies. For instance, we give more definite directions on how to bind journals, when they are to be trimmed, maximum thickness, etc. Monographs, on the whole, are not sent out unless they are paperbacks and/or "perfect binds". The most adaptable and finest binder is the smallest, unfortunately, and cannot complete everything we could send him in reasonable time. He switched entirely to acid free buffered end sheets on our recommendation. By using our new in-house capabilities, temporary measures such as tying and phase boxing, and a professional hand binder, in addition to commercial binderies, we have expanded our options considerably and eliminated destructive binding (except for journals) while only slightly increasing costs. The acquisitions department has changed its policy on paperback buying and now buys only hardcovers, if available, no matter what the differential in cost, except for multiple reserve copies, a policy which will pay dividends in years to come.

Preservation training for staff and users is and has been an on-going concern. Thanks to the then Science Librarian, William Robnett, the Chairman of the Preservation Committee when I arrived, a good start had been made in staff awareness. We developed a small exhibit which was displayed as classes started on what the user could do or refrain from doing to books, and also had a 15 minute videotape on proper handling of books running constantly. The student staff were required to view a more detailed videotape on loading books on trucks properly, keeping stacks neat, and other housekeeping chores they engage in. The student staff manual was revised to include safe handling procedures wherever appropriate and strict guidelines for staff photocopying were written. I have found that talking to the permanent staff on a one to one basis is a satisfactory way of reminding them of preservation concerns. We do have a Preservation Committee, as mentioned above, which includes representatives from each branch library and divisions within the main library, which is an excellent vehicle for involving many members of the staff in preservation and conservation matters.

The Director is very supportive of staff development and willing to give released time for attendance at workshops and short courses. Unfortunately, being located in the wilds of Ohio does not facilitate attendance at such, and the very limited number of workshops offered, even though greatly increased in the past few years, often come at times of year which are totally inconvenient. We have subscribed to every conservation and preservation publication we are aware of, in order to keep abreast of the availability of training possibilities and new developments in the field. There is a move afoot in Ohio to form a regional center for preservation, akin to the Northeast Document Conservation Center in Massachusetts, a move I strongly support. A Conservation Information Office with a Conservation Librarian, created in September 1983 with funds from the State Library of Ohio, functions as a clearing house for information and a disseminator of conservation ideas. I fervently hope it is just the first step toward a viable regional conservation center which would provide facilities for expensive, sophisticated and highly technical archival repairs which are beyond the capabilities of individual libraries, and, could also serve as a training center for potential conservators.

The two remaining important areas for preservation have received some attention but not adequate attention. The replacement and reproduction of those items too deteriorated to use needs to be tackled in a coordinated way area wide and, in some cases, nationwide. This is a concern which smaller libraries can well leave to larger libraries to solve lending support to them where possible.

Lastly, disaster planning, a must for every library. We do have a general disaster plan, and are working on a specific one. The largest part of the work on the plan was done before I arrived, but because of turnover of personnel, it was not finished. Disaster supplies have now been provided for each library and the rest of the plan should be implemented soon.

It is with mixed feelings of satisfaction and despair that I conclude this paper, because it has made me realize that even though it seems as if much has been accomplished, it is really only a small shovelful out of the mountain that lies before us to conquer. As I remind myself when the herculean task ahead threatens to overwhelm me, anything I do is a step in the right direction, the material has been sitting quietly moldering on the shelves for dozens, if not scores, of years, and eventually, not necessarily this year, something will be done about it. At the least, I think, we are not consciously doing anything harmful to books anymore.

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GIFT DEVELOPMENT REALITIES IN ACADEMIC LIBRARIES

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Abstract. Development of book, manuscript and archival gifts is an important source of support. Eight observations focusing on gift development are explored. These include that gift development requires long-range, planned, organized and indefinite institutional commitment to succeed; that donors relate to both the institution and its representative, separately and simultaneously; that gift development is both planned and accidental, and should be administered centrally; that gift development is a continuous and dynamic process in which the donor plays a permanent role. Finally, it is noted that there are no free gifts, and that each donor and gift is unique.

Keywords and Phrases. Administration of Gifts. Development. Donor Relations. Fund Raising. Gift Development. Special Collections.

GIFT DEVELOPMENT REALITIES

In recent years, librarians have paid increasing attention to alternate sources of funds. Books and articles have been published on fund raising and on grant writing.[1] Except for two practical manuals,[2] no sustained attention has been paid to the art of soliciting gifts of books, manuscripts and archives.

Public and private support of cultural institutions has a long history. Some of the finest library collections have come into existence through the benefaction of books, manuscripts, archives and related materials. Some of our colleagues are grand masters at the art of gift development. Yet, as a significant element in academic and research librarianship, it has not received the attention it deserves and demands.

When using the term "donor," I refer to two broad classes of people. In the first place, "donor" may refer to a prospective donor, an actual donor, or someone who has made a deferred gift. In the second place, the term "donor" defines a group which may include individuals, families, heirs, corporations and businesses, lawyers, foundations, and one's own community -- which, in my case, comprises students, faculty, staff, administration and alumni.

This presentation is a summary of elements in the art and process of gift development. It is my hope that these observations will lead to greater refinement in the future.

My first observation is that gift development requires long-range, planned, organized, and indefinite institutional commitment and effort to succeed. For example, my institution recently received a very large collection of historical manuscripts. This was the result of a six-year dialogue. The contact had originally been initiated by an assistant to the donor. Through correspondence, telephone calls and visits, we nurtured this prospective donation.

Actually, six years is a relatively brief period. When I mentioned this point of long-term time investments to a colleague, he responded with an instance when, after twenty-five years of free telephone and personal consulting, an organization unexpectedly donated a major collection of historical photographs to his institution. Elements of such consistency, perseverance and continuity of effort pervade all further observations.

From these two brief anecdotes flows my next observation: donors relate to both the institution and its representative, separately and simultaneously. To many donors, the institution and its gift officer are identical. For our purposes, it will be useful to analyze them separately.

The reasons for donating are usually complex and are not the subject of this presentation. Nevertheless, when a donor gives something to an institution, he or she wishes in some way to reap the benefit of institutional identification. As a consequence, the library often comes to represent the academic parent in the donor's mind and the gift officer is personified and treated impersonally as an institution. The tip-off usually is the question, "How's the University?"

The donor's relationship with the institutional representative can be highly personal or impersonal, intense, and long-term. Just as in any other human situation, these relationships can be very difficult or rewarding. With a difficult donor, it may be useful to take a long-term perspective about the ultimate benefits of the transaction; especially because, to many donors, the library's representative is the only point of contact with the institution.

A year or so ago, a donor revealed to me that a major reason he had selected my library was that I always returned his telephone calls promptly. He went to some lengths to describe his disenchantment with two libraries where he had previously made donations, who did not return telephone calls. In one of these institutions, he had also taught part-time in the evening. Donors not only value the personal contact, but they also expect to be treated properly, and perhaps somewhat solicitously.

Let us stay with the same donor for my third observation, that gift development is both a planned and accidental activity. In soliciting gifts, one may follow a collection development plan. As a result of this and other efforts, unsolicited gifts are inevitably offered. For example, as secretary of a regional studies group, I had been asked to invite this future donor to speak to our members on the topic of publishing local history. None of us had met him before but knew of his publishing success. He came to our dinner meeting accompanied by his wife and shared much valuable and practical advice, which, unfortunately, was not particularly encouraging.

The next morning, he called me unexpectedly and asked if my library might be interested in two boxes of books, including some good local history. To make a long story short, over a period of three years, this donor, who turned out to be a former antiquarian bookseller, gave the library a sizable gift of books and manuscripts in a wide variety of fields. These were fortunately mostly in areas we were already collecting. He had given us permission to trade or discard unwanted items, however.

Another form of chance encounter is publicity. Not long ago someone called to offer a set of newspapers. The caller had clipped an article about a regional collection we had purchased seven years previously and had my name. It turned out that we had no use for the newspapers. I called some historical societies and other academic libraries in the area, but none was interested. In declining the offer, I told the potential donor of my survey and also gave the names of two institutions that she could call herself. She responded with tentative future offers of materials.

A fourth observation, derived from the previous anecdote, is that all gifts functions need to be centralized. I believe that it is in an institution's best interest that all written and oral contacts be coordinated by one person or office. The benefit of this is that the donor has a sense of relationship and institutional location. Centralization allows the recipient institution to solicit and accept gifts within the context of a collection development policy. It also permits the necessary centralization of records and appropriate forms of acknowledgement, recognition and reporting.

I do not mean to suggest that the gift coordinator should be in direct contact with all donors. Far from it. If the president, the vice president for development, or the director of libraries is the primary or appropriate donor contact, this should be allowed to proceed naturally. However, the gift coordinator should be kept informed so that he can assist in furthering the gift. Or, he can advise that the gift should go elsewhere because of collection development constraints or particular problems with processing, cataloging, reference or long-term expenses. It is important that the person assigned to gift development enjoys working with donors and library materials, as well as with major campus officers. As presidents and vice presidents are primarily oriented toward fund raising and often have little experience with the consequences of gifts, a gifts coordinator can serve an educational function in trying to avoid impossible gifts.

My fifth observation is that gift development is a continuous and dynamic function. Donors expect courtesy, consistency, and reciprocity from the institution in which they have made a material and emotional investment. Not only should letters of acknowledgement be signed by the appropriate official, but institutional mailings should have consistency. For example, many of us have had our expectations raised by "volume 1, number 1" of library journals and newsletters without ever receiving a "volume 1, number 2." It is my conviction that one should plan for a publishing commitment of at least five years before starting up any kind of publication for an extramural audience.[3]

I suggest that there are alternate ways of maintaining contacts with donors. Some libraries have placed donors on the mailing lists of their house organs or faculty/campus newsletters. Others have worked out arrangements with the development or alumni office for appropriate publications. Since my institution lacks a full-fledged, donor-oriented publication, I have sent the library's annual reports to donors who are mentioned in it, accompanied by a personal letter. In addition, from time to time we send out copies of the news release announcing new exhibits. In both instances there is always positive donor response -- either in simple appreciation of the contact or sometimes in calls asking if we are prepared to accept further gifts.

A donor is forever. That is my sixth observation. The relationship with the donor is permanent.[4] Depending on the donor and his or her demands and expectations, it may be an extremely time-consuming forever. This new relationship is the reciprocal side of the period of solicitation and development of a gift. A six-year gestation period can turn into an indefinite permanent relationship.

If it is a positive one, the donor assumes the status of an honorary alumnus and an eager scout and field collector, and broadens one's network of contacts. One of our donors is an active member in a number of organizations. She is so pleased with our collecting of the records of organizations in which she is involved that she is fortunately encouraging other organizations to contribute their records. On the other hand, one hears of donors who contact the gift librarian seeking advice and comment on matters in which he/she may be only partially informed. These take time and try one's patience.

The seventh observation I would like to make is that there is no free gift. Gift development, the personal contact and the personal follow-through, are often exciting and rewarding. At the same time, they are extremely time-consuming efforts. An organized gift development program must be a permanent part of a library's budget if it is to be meaningful.

Processing gifts is expensive. Increasingly, libraries and archives expect financial support from donors to help process or catalog gifts. This is a reasonable expectation. My library was successful, albeit in an unusual way, in obtaining funding for processing and housing the large historical manuscripts collection I mentioned before.

The cost of long-term staffing and space is usually overlooked. A gift collection is only as good as its scholarly access; however, many institutions have accepted gifts which will not be available for the foreseeable future because of lack of staff and space to provide appropriate service. In gift development planning, a library needs to take a long-term look at its ultimate service and staffing requirements. If appropriate access and service cannot be provided, it may be in the institution's best interest to refer gifts elsewhere. Donors respect honesty; they scorn deceit and incompetence.

When a donor makes unreasonable demands about acknowledgement, space allocation and designation, tax treatment and related matters, I believe that the recipient institution is better served by declining rather than accepting an offer of gift. In any case, it is advisable to spell out mutual obligations and commitments on paper. Although the donor may be in control, it does not mean that the institution has to accept all conditions.

My eighth and final observation is that each donor and gift is unique. Each donor, each gift and each situation calls for an appropriate individual response within a general gift development context. As long as the collection instinct persists, collectors will continue to identify and define new areas. These often open up new research opportunities to which institutions need to be responsive. Collectors preserve valuable resources for safe-keeping, and expect the same when they donate. Collectors are interesting, challenging, committed, difficult and curious people. Given one's time and institutional involvement, they may reciprocate with their gifts.

Gift development is an important source of support for academic libraries and is integrally connected to fund raising and grant support. Unlike these other two funding sources, gift development will only succeed as the result of even more sustained, continuous effort.

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COLLEGE LIBRARIANS AND PROFESSORS: PARTNERS IN COLLECTION BUILDING AND FUND ALLOCATION

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Abstract. Classroom and library faculty at one college have cooperated successfully in collection development and in departmental division and use of library funds. The process employs: acquisitions data, institutional data, librarians' bibliographic expertise, faculty assessment of library needs for particular courses, both individual and departmental recommendations, faculty library committee judgments, and a five-factor formula which helps to balance the real with the ideal when all of these interests are combined. The formula, which produces departmental weights, generates guideline amounts rather than strict allocations and is used only for books and monographs, and for serials other than periodicals. The guideline amounts required some modification the first year in order to cushion the shock of reality to a few departments adept at making wheels squeak, but with a few refinements the formula has become a useful and accepted tool.

Keywords and Phrases. Allocation formula; Collection development; Faculty participation; Library committee.

INTRODUCTION

After having read Caroline Coughlin and Pamela Snelson's article, "Searching for Research in ACRL Conference Papers," published a year ago in the Journal of Academic Librarianship, I feel somewhat like Mark Antony when he sought permission from Brutus to speak at Caesar's funeral. If I may slightly alter his blank verse utterance in that predicament:

> Gentle[persons] all,--alas! what shall I say?
> My credit now stands on such slippery ground
> That one of two bad ways you must conceit me,
> Either a [self-flatterer or a fool].[1]

You may recall that the Mss. Coughlin and Snelson lamented the absence of original research in two-thirds of the papers presented at the first ACRL Conference in Boston, finding the papers' goals to be primarily "descriptive" or "prescriptive," with too many being little more than "How-I-do-it-good diatribe."[2]

Five or six times a year there arrives on my desk a research questionnaire accompanied by a letter pleading that my response is important to a significant study on some aspect of academic libraries. Last spring one such survey was followed by the researcher's telephone call for more detailed information and his subsequent suggestion that our experience should be more broadly shared. Without that urging, what you are about to hear would never have been mailed to Seattle. It assuredly is descriptive. But as I would not presume to prescribe it for others; neither, I hope, does it descend to "How-I-do-it-good diatribe." Fifteen minutes from now, each of you will decide whether I am a self-flatterer or a fool, but I hope you also will have perceived that the venture described has succeeded in one college because its library and classroom faculty worked together with mutual respect and a common interest in quality education.

First I will review the several concerted efforts of the library to involve classroom faculty in collection development processes. Secondly, I will outline the emergence of a departmental allocation formula which is unique in several respects but which is relatively easy to apply and to update. Finally, I should like to demonstrate that deliberate enlistment of faculty expertise and cooperation can relegate allocation wars to the realm of myth and can make faculty respect for librarians a reality.

GENERATING FACULTY INTEREST AND INVOLVEMENT

A small liberal arts college is potentially more fertile ground for developing good working relationships between classroom faculty and library faculty than is a university. Colleagues commonly know one another on a first-name basis and have ready knowledge of one another's academic credentials. They are more likely to be loyal to, or at least to be guided by, the mission statement of the institution for which they work. Moreover, classroom teaching in a college is often much closer to the service orientation which most librarians espouse. At Manchester College the faculty library committee is a microcosm of this kind of collegiality, but the librarian members of that committee have had to earn what professorial members are usually granted without question, namely, respect for their intellectual capacities and for their competence in book selection.

In 1962 when my predecessor wrote the program for a new library building and stubbornly insisted on retaining as consultant a nationally known librarian of impeccable credentials, she was supported by the faculty library committee and was persuasive with the administration. A steady rate of increase in the growth of the book collection followed completion of the building, and problems arose with the antiquated system of expending book funds. In the mid-sixties the library faculty presented a rationale and plan for abandoning that system, which reserved about twenty-five per cent of the book fund for reference books and for selection by the library staff, and allocated the balance to academic departments.[3] In its place would be established a series of accounts, including one for each department, but adding several for interdisciplinary fields and for areas of knowledge not covered by the current curriculum. In addition, librarians, classroom faculty and administrative faculty--even staff and students--would be permitted to recommend books in any field; and the acquisitions librarian would maintain close liaison with department chairs, manage the selection process and control the expenditure of book funds.

The faculty library committee studied the proposal, its possible consequences, its advantages and pitfalls, and decided to recommend adoption to the faculty. Some members even lobbied with skeptical colleagues to give it at least a trial run. Two years later when the only complaint--not a new one--concerned the amounts assigned to departments, the librarians worked again with the professors to develop an acceptable and more substantial basis for determining those amounts.

One of the products of those two encounters has been increased faculty interest in serving on the library committee and a subsequent improvement in appointments made to it. We nearly always acquire at least one department chair; we have rarely been without one or more members whose excellence in teaching is recognized by colleagues.

Through the pages of a Library Handbook for Faculty, the librarians and the library committee encourage professors: to be thoughtful and honest in generating data for the allocation formula; to request new books that may reasonably be expected to assist the learning of undergraduates as well as titles to stretch their minds; to tailor assignment patterns that will minimize student procrastination and thereby discourage mutilation and expropriation of library materials; and to make use of the library's several unusual resources.

The library committee approved a basic periodicals subscription list compiled by the librarians and was granted veto power over all new subscription requests for specialized journals. Colleagues making such requests have had to appear before the committee to defend them when the written rationales were weak or unconvincing. The basic periodicals subscription list is printed in the Library Handbook for Faculty along with separate lists of all subscriptions supporting each department.

The library faculty continue to exploit opportunities to involve professors in collection development processes. As a result, faculty interest in the library and their support of its needs remain high even though faculty use of the library continues to fall short of librarians' expectations.

DEVELOPING AN ALLOCATION FORMULA

Records of previous expenditures and guesswork are weak arguments when a dissatisfied department chair asks why her/his discipline is granted so small an amount for library acquisitions. Guy R. Lyle believed that "a group of conscientious, college- rather than department-minded faculty members and the librarian can develop sufficient experience to arrive at a pretty shrewd guess at what is fair to each department in relation to the total amount available."[4] Notwithstanding the profound respect college librarians have for Lyle, one suspects that when he wrote those words he had been too long removed from that responsibility.

When it became apparent in 1970 that our acquisitions librarian needed firmer ground for the recommended departmental allocations, we reviewed the literature on allocation formulas and reported to the library committee the variables used by other institutions.[5] The committee members were unanimous in rejecting all mathematical models presented, asserting that mathematical precision in properly allocating funds was presumptuous if not impossible. However, they believed many of the criteria used were valid determinants, that data was available, and that a useful formula could be developed. They agreed upon six criteria to be used and directed the librarian to return with some options which would incorporate them but would also consider both the previous funding levels of each department and the current needs as the library faculty viewed them.

The six criteria to be used were: (1) the number of faculty in the department, (2) the number of majors being graduated annually, (3) the number of courses offered, (4) the weighting of courses according to need for library resources, (5) the number of student-semester-hours of the previous year's enrollment, and (6) the average per-volume cost of the previous year's acquisitions. A majority of the committee agreed that numbers 3, 4, and 5 should be weighted more heavily than the other three. Inasmuch as the statistical data needed was readily available from administrative offices, the problems were three: how to determine levels of library use for each course; how to tabulate and employ the data appropriately and fairly; and how to formulate the data simply without pretentious or spurious claims.

Determining Levels of Library Use

The library faculty favored placing responsibility for determining levels of library use on the classroom faculty. We did, however, design the following communication, which department chairs might administer as they preferred but which also defined the four levels of use to be employed in the process. (See Figure 1.) This memorandum, distributed

FORMAT OF COMMUNICATION ON ASSESSING LIBRARY USE IN EACH COURSE

To: Department Chair

From: The Librarian

Subject: Library use in the teaching of courses within your department

To aid in applying the formula used to arrive at guideline figures for budget allocations, please mark each course offered in your department as 1, 2, 3, or 4 according to the following descriptions. Confer with your colleagues or ask each to categorize her/his own courses.

1 - Laboratory course in which library use is limited.

2 - Textbook course involving some use of the library generally, but primarily of materials on reserve and/or periodicals.

3 - Reference course, with or without a textbook, requiring frequent or intensive use of library materials, especially via the card catalogs.

4 - Reference course in which library services are utilized and materials searched more or less exhaustively with particular dependence upon subject bibliographies.

Category 1,2,3 or 4	Course Number	Course Name

Figure 1

with a deadline for its return, not only produced important data but constrained professors to examine their course syllabi--or at least to review their teaching plans--and to judge how and how effectively those guides would motivate students to use the library. Implicating this important pedagogical concern was not an idea gleaned from the literature on fund allocation. Rather, it was recognized as a desirable fringe benefit, perhaps an innovation in the data-gathering process.

Organizing the Data

Because the ranges of numerical values for the several kinds of data were so dissimilar and because many departments were subjectively judged to be so nearly equal, a second innovation was to spread the set of numbers for each criterion on a ten-point scale so that an index number from one to ten might represent each department's placement relative to the others. (See Figure 2.) Because no department had more

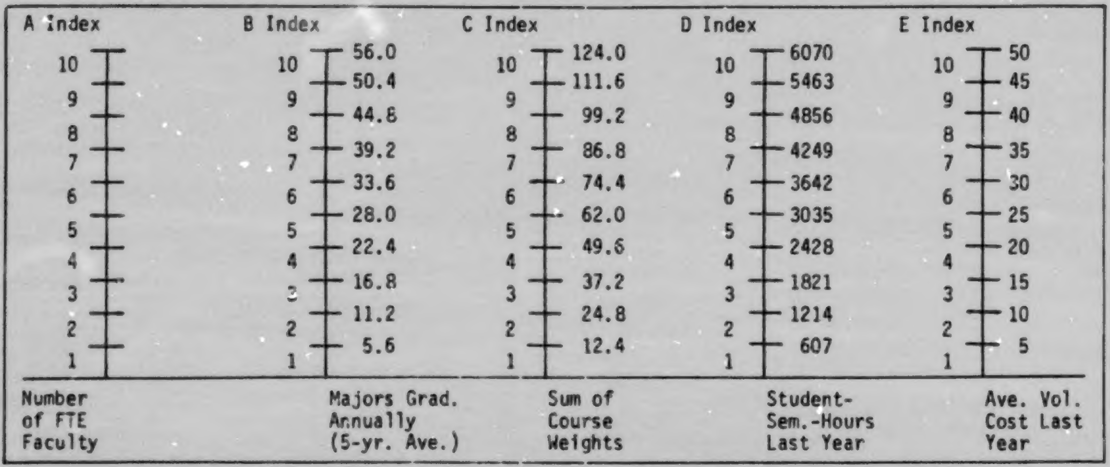
A Index
B Index
C Index
D Index
E Index
10
9
8
7
6
5
4
3
2
1
56.0
50.4
44.8
39.2
33.6
28.0
22.4
16.8
11.2
5.6
124.0
111.6
99.2
86.8
74.4
62.0
49.6
37.2
24.8
12.4
6070
5463
4856
4249
3642
3035
2428
1821
1214
607
50
45
40
35
30
25
20
15
10
5
Number of FTE Faculty
Majors Grad. Annually (5-yr. Ave.)
Sum of Course Weights
Student-Sem.-Hours Last Year
Ave. Vol. Cost Last Year

Figure 2

than ten FTE (full time equivalent) faculty members, the values of the first determinant were identical to the "A Index" numbers. The four levels of library use and the number of courses offered within a department were combined in the "C Index," the values on the right being a range for the sum of the departmental course ratings. The B, D, and E indices are self-explanatory and were scaled on statistics from the college registrar and from acquisition records. Thus the six determinants were reduced to five indices on simple ten-point scales to help profile a department's relative need for library support.

Developing the Formula

The library faculty sought a formula that would use the five indices as significantly as possible, but that would not, if applied rigidly, abruptly remove the kind of library support that departments felt was necessary to meet their needs. This meant, rightly or wrongly, that we felt we had been allocating credibly well, but that we suspected we had favored certain smaller departments--art, for example--which were due for a shock regardless of the formula used.

In some source, which I am now unable to identify, allocations had been made on the basis of departmental weights. This method appeared eminently suitable for employing the five small-number indices derived from our data. After experimenting with coefficients to weight the C and D indices, which the library committee had agreed were more important, we eventually discovered that adding the product of C and D to the sum of the other three generated allocations remarkably close to "current needs as the librarians viewed them," a consideration also suggested by the library committee. The resulting formula became:

$$X = A + B + CD + E,$$

where X = Department weight; A = Number of faculty in the department; B = Index for the number of majors being graduated (5-year average); C = Index for the number of courses weighted by library use; D = Index for the number of student-semester-hours of enrollment in the department; and E = Index for the average per-volume cost of the previous year's acquisitions for the department's disciplines. The ratio of a department's weight to the sum of all department weights determined its portion of the funds to be divided.

When the formula was presented to the library committee, the librarian reminded them that the amounts it produced were guideline figures rather than strict allocations; that, in harmony with previously approved policy, the acquisitions librarian would have discretionary control over the book budget. This policy was reaffirmed, but the committee requested the prerogative to review and possibly to further adjust the guideline amounts. Moreover, because the formula would consistently provide much more support for the mathematics department than its needs warranted, the Librarian and the acquisitions librarian were directed to adjust that amount downward and to divide the difference among departments which account for more circulation. Thus, the amounts annually submitted to the library committee for approval are adjusted guideline figures (AGF. See Figure 3 for a representative pattern.)

While the formula may be neither divinely inspired nor scientifically defensible, it has proven to be a very useful tool for thirteen years. Occasionally an interested librarian, or more frequently one of our colleagues in the mathematics department, may chide us about the formula's imprecision and pseudo-scientific pretension. At such times I recall a heated faculty debate a few years ago on grading scales. Responding to an inexorable advocate of the A-plus-to-D-minus pattern, a dean of students arose and declared: "Mr. Chairman, anyone who believes he can accurately distinguish twelve separate levels of performance is either Almighty God or a deluded ass!"

The formula, which is used only for books and monographs and for serials other than periodicals, produced guideline figures that required modification the first year in order to cushion the shock to a few departments accustomed to disproportionately large allocations. It is applied only to the portion of the book fund remaining after allocations have been made to general reference, special collections, a contingency fund, and interdisciplinary needs. The library committee and the librarians now believe that this formula with any faults it may have is better than no formula at all; for the subjective judgments made without guidelines would surely be influenced by expediency and the inclination to grease the wheels that squeak the loudest and most persistently. Our goal had been to be less subjective and arbitrary in making allocations and to try to be more responsive to the changing needs for library resources.

THE FRINGE BENEFITS

Even if this allocation formula that emerged had failed to achieve significance, the exchanges and interaction between librarians and professors on the library committee would have justified the attempt. Several years later, two respected members of the faculty accompanied two librarians for a three-day workshop at Earlham College to learn more about course-integrated bibliographic instruction. In 1979 when the library undertook a self-study with a consultant from the Association of Research Libraries, Office of Management Studies, we enlisted from the faculty two team members whose success and dedication in college teaching were of the highest order. The associate academic dean was relieved of some of her

REPRESENTATIVE PATTERN FOR THE DIVISION OF A BOOK FUND OF $30,000

Department	A Index	B Index	C Index	D Index	E Index	Dept. Weight (X)	Per Cent of Total	Formula Guideline Figure	Adjust- ments	Adjusted Guideline Figure
Art	2	1	3	2	5	14	2.67	828	+200	1,028
Biology	4	4	4	4	7	31	5.92	1,776	+200	1,976
Chemistry	4	3	3	2	10	23	4.39	1,317		1,317
Economics & Business	7	10	7	10	4	91	17.3	5,190	-700	4,490
Education	7	5	6	4	4	40	7.63	2,289	+300	2,589
English	5	1	7	3	4	31	5.92	1,776		1,776
Health/P.E./Recreat'n	6	3	6	2	4	25	4.77	1,431		1,431
History/Pol. Science	6	3	9	4	4	49	9.35	2,805	+200	3,005
Home Economics	2	1	4	1	4	11	2.1	630		630
Mathematics	7	2	3	4	5	26	4.96	1,488	-800	688
Modern Languages	3	2	6	2	4	21	4.01	1,203	+100	1,303
Music	6	1	10	1	4	21	4.01	1,203	+300	1,503
Physics	2	1	3	1	4	10	1.9	570		570
Psychology	5	3	4	4	5	29	5.53	1,659		1,659
Religion/Philosophy	5	1	7	4	4	38	7.25	2,175	+100	2,275
Sociology/Social Work	6	3	8	4	4	45	8.58	2,574		2,574
Speech Communication & Drama	4	2	5	2	3	19	3.62	1,086	+100	1,186

Figure 3

other duties when we requested that she chair the team. The faculty executive committee gave the library program-time on two successive, annual workshops, the first in order to launch the self-study, the second to report its findings.

Each of these events has helped a few more professors to understand the role of librarians and to respect them as an integral part of the college faculty of instruction. But even more importantly, each event has involved some faculty members in library-related business, reminding them both of their responsibilities to the library and of the underused benefits they may receive from it.

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   Adaptable ideas for college libraries are also found in: Association of Research Libraries, Office of Management Studies, Systems and Procedures Exchange Center, The Allocation of Materials Funds, Kit No. 36 (September 1977), now available only from ERIC's Document Reproduction Service, P.O. Box 190, Arlington, VA 22210. ARL/OMS has more recent SPEC Kits which touch on fund allocation but none to replace No. 36, now out-of-print.

Section V:

GENERAL ADMINISTRATION

PERCEPTIONS OF THE ACADEMIC LIBRARY; MIDWESTERN COLLEGE LIBRARIES AS THEY HAVE BEEN DEPICTED IN COLLEGE HISTORIES

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Abstract. The myth that the library is the heart of the college is studied in the published histories of twenty-eight Midwestern colleges. Libraries, started at the founding of the colleges, grew slowly; under a teacher's part-time supervision, they were open a few hours a week. Emphasis in the histories is on collection size, rare books, and buildings with little discussion of library staff, collection development, or undergraduate service. The colleges generally have not given consistent academic or financial support to their libraries. Neither the colleges nor their historians demonstrate that they regard the library to be the heart of the college.

Keywords and Phrases. College libraries. College histories. Heart of the college.

That the library is the heart of the college is one of the most persistent of American academic myths. It is a metaphor frequently used by college presidents and trustees, brochures and catalogs proclaim it, faculty members subscribe to it. To measure this myth against reality, I studied the portrayal of the library in the published histories of twenty-eight Midwestern colleges. By what they say about them, the historians tell us what they believe libraries to be and how vital they seem in the life of the colleges. The importance ascribed to libraries by the colleges can be inferred from the support given to them and the resources that have been committed to their development.

I chose to study the colleges of the Old Northwest--Ohio, Indiana, Illinois, Michigan, and Wisconsin--because it was the first part of the West to be systematically settled and organized. This area attracted people from all of the Atlantic seaboard states, people who brought with them the social, political, and religious opinions represented in the original states and merged them into a developing Americanism. All of the colleges studied had denominational beginnings. Founded primarily to provide an educated clergy for the frontier, they were soon producing Christian laymen who became the lawyers, politicians, doctors, and business leaders of the region. To ensure a similarity of history, I studied only private liberal arts colleges that are at least one hundred years old; seven of them were founded before 1840, eight in the 1840s, eight in the 1850s, and five in the 1860s. Throughout much of the nineteenth century, American college education changed very little so that all of these schools, whether founded in 1830 or 1860, had some period of similar curriculum and experienced change and innovation in their programs at about the same time.

I believe that it is legitimate to use these college histories as a measure of the importance attached to libraries by the institutions and by their authors, and to some degree, by the academic community at large. The histories were all published by, or under the sponsorship of the institutions and all but three of them were written by faculty members or administrators. Because of some joint authorships, thirty-one individuals participated in writing the twenty-eight histories. Five of these were college presidents; four were other administrators; ten were history professors; five were English professors; and four were professors in other disciplines. The three that were neither administrators nor faculty of the colleges were a local newspaper editor long acquainted with the school; a professional editor, daughter of a longtime faculty member and herself a graduate of the school; and a professional historian hired by the college to spend a year on the campus researching and writing its history. Because almost all of these authors are academicians, the references that they make to the college library should be some indication of what they understand about its place in the life of the college. At least three of these authors speak of the library as "the heart of the educational enterprise,"[1] "the heart of the university,"[2] and "at the heart of any college."[3]

In many of these histories, a library is referred to as part of the founding of the college. In conjunction with finding a site, raising money, and hiring teachers, we are told that steps were taken to acquire a library. "I have collected about 3 to 400 volumes of books, some very valuable works," a founder of Carthage wrote.[4] In 1834, subscriptions for Marietta included "books to the value of $150."[5] President Jacques of MacMurray College, "starting the institution on a high academic level, . . . organized a library and a laboratory."[6] While he traveled around Ohio looking for a site for a college, Wittenberg's first president was also "to collect books and money . . . for the institution's library."[7]

The historian's first reference to a library is frequently as a space in an early building. In Davenport's history of Monmouth, the first mention of the library is as a room in a building constructed in 1875, twenty-three years after the beginning of the college.[8] In the first building at Eureka College, "the Library was about ten feet square and most of the space was occupied by vacancy."[9] The first president of McKendree College wrote, "we . . . made the library and recitation rooms cheerful with paint, paper, and whitewash."[10] An 1880 report at Olivet refers to: "a new building . . . in process of construction . . . for a chemical laboratory, library, and other purposes."[11] Antioch's first building had "a chapel 50x90x30 feet, a lecture room, a library, laboratories, recitation room."[12] The first catalog of Carroll College announced a new building containing "three Recitation Rooms, an Academy Room, a Chapel, and a Library."[13]

The conception of library as place continues throughout the histories, the migration of the "library room" from one building to another is faithfully recorded. The greatest amount of space devoted to the library is sometimes the record of the raising of the money, the planning and construction of a library building--Augustana's Denkmann Library,[14] Eureka's Melick Library,[15] DePauw's Carnegie Library[16]--but in the majority of the histories only a page and some scattered references are devoted to this event. The actual move into a new building is sometimes described with admiration:

> In January of 1970 . . . the temperature was -20°F that morning of the move! Hundreds of students presented themselves for work . . . two long lines stretched between the buildings, one of book-laden volunteers and the other of returning carriers. . . . It was truly one of the great days of Monmouth history, perhaps the greatest day ever.[17]

In 1900, ninety-four young men with thirty-six young women to give them directions moved the Wooster College collection into the new Frick Library. "In two hours and five minutes the job was done, and almost every book was in its proper place."[18]

In the histories of Eureka, Illinois College, Rockford, Earlham, Albion, and Hope, the move into a new building is the last mention of the library. In each case the reference is from fifty-five to eighty-two pages from the end of the volume.

The single most frequently noted library information is the number of volumes held. All of the histories give this statistic, frequently exhibiting it as a measure of excellence. Wooster in 1942, "accessioned its 100,000 volume."[19] "A library that had 55,000 volumes in 1907 . . . contained almost three times that number . . . in 1937" we are told of Ohio Wesleyan's library.[20] "Academically the college was strengthening," we are told of Rockford in 1899, "the library contained 7,000 books."[21] At Albion there was an increase of 12,000 in twenty years, "this meant that the library possessed in 1921 almost double the number of books it contained in 1901."[22] The Wabash "library had grown from 6,000 to 30,000 volumes . . . by 1892."[23]

References to rare books and special collections are also used to demonstrate the quality of library book collections. Earlham has "the best collection [of Friends publications] west of the Appalachians."[24] A 1561 Book of Hours, "five volumes of a 1793 edition of Dante owned and annotated by Shelley" and a valuable collection of papal manuscripts are in the Saint Mary's College library.[25] As early as 1836, Kenyon had "some rare and costly" volumes.[26] Marietta has "priceless collections" of Americana both books and manuscripts.[27] The Methodist Historical Society collection at Ohio Wesleyan "because of the rarity of some of its items [has drawn] special students from a distance . . . for research purposes."[28] None of these statements are wrong or, in and of themselves, bad, but when they are given undue emphasis, they present a distorted view of the library in the life of the college. The prominence given to collection size and rare items demonstrates that, in the eye of the historian, these have a greater importance than other aspects of the library.

In some histories, except for an occasional reference to the director, there is virtually no mention of a librarian. When colleges were founded in the nineteenth century, almost anyone could be designated to look after the few books. At Wabash College in 1833-34 "the steward's recompense for acting as librarian consisted of the privilege to 'make free use of the books.'"[29] At Olivet the first librarian was a student and the library was kept in his room.[30] At Kenyon the first librarian was Mrs. Chase, the president's wife, who "kept the accounts of the institution and looked after the library."[31] At Illinois Wesleyan during the 1860s, H. C. DeMott, while doing graduate work also taught mathematics and served as librarian.[32] The arrangement at North Central was typical, "almost from the beginning . . . various members of the faculty were selected as librarians, a responsibility in addition to their regular academic teaching."[33] During most of the nineteenth century the professor-librarian carried on a one-person operation with the library open only a few hours a day. As more hours were demanded, the professor remained in charge but he was given a full-time assistant to keep the library open. At DePauw "Mrs. A. E. Lester was placed in immediate charge of the reading room and kept it open seven hours each day."[34] "Dr. Robert F. Cornell was appointed director of the library [at Kalamazoo] and Mrs. L. J. Hemmes, chief librarian."[35] Ohio Wesleyan, in 1943, still had a professor-librarian but since the 1870s had had a series of library attendants. Joseph R. Dickenson whose "remarkable memory made the library catalog superfluous" and "Aunt Kate" Schock "a familiar and be-loved figure behind the library desk for several decades" seem to have been the most noteworthy.[36] Occasionally the assistant became the librarian. At Beloit in 1909:

> Miss Iva M. Butlin of the class of 1902, whose service in the library . . . had been invaluable in its intelligence and fidelity, now received the appointment of Associate Librarian. Later she was promoted to the office of Librarian and Associate Professor of Library Science.[37]

The change from the part-time professor-librarian to the librarian as trained professional with a full-time appointment as library director was slow in coming and happened at different times in the various schools, often not until well into the 1930s. That many of the historians see this appointment as a significant event is demonstrated by the frequency with which they note the fact, typically expressed as "Miss Margaret Jane Gibbs . . . became [Hope] College's first professional librarian in 1931."[38] In 1935, William W. Sweet exclaims in his history of DePauw:

> Perhaps nowhere has there been a greater change in the interests of better academic service than in the library. For the first time in the history of the university a trained library staff has been installed.[39]

The anomalous status of these newly arrived professionals is best expressed in the history of Wabash: "Also practically a part of the faculty have been the librarians."[40]

Some authors become almost patronizing when they attempt to describe the hard working librarian:

> In 1944, Miss Elizabeth Bechtel retired after forty-four years. Since 1915, she had carried the responsibility as librarian, always stretching the budget as far as it would go, always looking ahead, always considerate of the various faculty--and how well she knew them and their eccentricities--always expecting and getting the best from her growing staff of assistants, always there when somebody needed her, always cheerful. . . . Her own little cubby-hole of an office in the northeast corner of the old Frick library was her home. She never missed a day there. Outside her window was an old and rather sprawling elm and farther off some of the venerable oaks of the old campus. These and the books around her were her world.[41]

or:

> Through the thirty-seven years . . . Mr. Wedding has missed few days at the library. . . . In his early years as librarian, Mr. Wedding accomplished the huge task of rearranging. . . and recataloging [the books] on the system then most advanced. As this book is being written he is resolutely beginning a complete new cataloging of them. The system that was so new in 1896 has become old in 1931. . . . But the librarian then as now is indefatigable, patiently and capably performing each day more than one man's work, possessed of such a knowledge of books as only a lifetime of managing a great collection of them can bring.[42]

"The primary function of the Library, of course, was the housing of the College's treasury of books."[43] Statements like this one written in 1982, betray a complete misunderstanding of what libraries are about. Although there are some exceptions, the historians studied exhibit a general misunderstanding of why libraries exist or how they are organized. We are told that "the library was catalogued on the Dewey system of classification,"[44] and that librarians "had been busy cataloguing the books according to the approved Dewey system."[45] One writer who treats library matters most extensively refers to the standards set by the National Library Association.[46] Most references to the growth of the collection exhibit no interest in how books are acquired. There is, however, one reference to an early approval plan at Albion where the 1884-1885 catalog reported that they had established:

> . . . an arrangement with Phillips & Hunt, whereby we are to receive for examination monthly installments of the newest books in various departments, thus enabling us to keep up with the very best thought.[47]

The perennial problem of the allocation of funds among departments was discussed by one historian. Book funds had been divided equally at Wabash but it became "obvious that history and English needed more books than Greek and mathematics"; all attempts to change the system failed until a lawyer worked out a "scheme of division so equitable that it has stood ever since."[48] In the area of collection development it is noted that in 1900, Wooster was trying to complete its sets of the standard British periodicals "so that Poole's Index might become a useable reference book."[49] The problem of a centralized collection as opposed to departmental libraries is discussed at DePauw where in 1912, the departmental libraries that had developed over a twenty year period were, with the active encouragement of a new president, assembled in the new library building. Endowed collections were given special shelving but "all the others were placed in the general stacks."[50] There are descriptions of this same solution being applied to similar problems at Valparaiso[51] and Kalamazoo.[52] Censorship is sometimes depicted as a problem in the early days of collection management. A student's recollection of an incident at MacMurray is reported, Emerson's Representative Men was removed from the library by the faculty who claimed ". . . 'its influence would be pernicious upon our young minds.'"[53] At Wooster, the Reverend T. K. Davis, librarian 1877-1915, guarded "closely, on forbidden shelves many books which he regarded as morally or intellectually dangerous."[54] There are also infrequent references to other aspects of library service. There is mention of the development of reference services at Ohio Wesleyan,[55] of bibliographic instruction at MacMurray in the 1940s[56] and at Ohio Wesleyan between 1905 and 1907;[57] and of interlibrary loan at Monmouth in the 1970s.[58]

Although there are some exceptions, some indications of an understanding of the depth and breadth of the library's place in a college, for the most part the historians studied indicate by the emphasis that they place on collection size, rare books, and buildings that they perceive the library to be a place where books are kept, where quiet and decorum preside. They see the librarians not as colleagues in the educational process but rather as a breed of acolytes performing their own mysteries in the temple of learning.

I have not counted pages nor compared the number of paragraphs given to the library as contrasted to other subjects, but other matters do get a great deal more attention in these histories. Throughout the nineteenth century all of these colleges were under-financed and much space is given to their struggles to raise enough money each year to survive. There is an emphasis on the development of the curriculum and of the faculty, sometimes with extended biographical sketches of presidents and faculty members. The development of intercollegiate competition receives considerable emphasis; during the antebellum period contests were usually in oratory and other forensic activities, by the 1880s they had become increasingly athletic. There are whole chapters chronicling the increasing prowess of the Little Giants, the Vikings, and the Crusaders in baseball, football, and basketball. During World War I, seventeen of these colleges had units of the Student Army Training Corps. These were organized in September, 1918, and were disbanded almost immediately after the Armistice two months later, yet they always receive several pages of coverage, occasionally whole chapters. In this milieu the library remains a refuge, a quiet retreat for the historian; not unimportant but certainly not the vital, pulsating heart that sends life throughout the campus.

When these college histories are considered as a unit they become a history of higher education in these five Midwestern states. In this general history we can measure the commitment to libraries exhibited by the colleges.

Libraries were established at the founding of the colleges but they were usually made up, as was that of Olivet, of "donations from the libraries of clergymen and others, and were not the most valuable class of books,"[59] or of Beloit which had "too large a proportion" of government reports and miscellaneous gifts.[60] At Augustana the first five thousand volumes were from the library of Sweden's King Charles XV and consisted of books in French about the French Revolution.[61] As the years passed many colleges made few improvements in their libraries. A faculty report at North Central College, in 1880, called the library a disgrace and said that they were ashamed to report the number of volumes to the Bureau of Education.[62] A visiting committee of the Society for the Promotion of Theological and Collegiate Education, in 1851, reported that the library at Illinois College was more like an appendage than an integral part of the institution.[63] In 1892, a State Board of Visitors advised Kalamazoo that it should give immediate attention to its meager library which contained few books of real value.[64]

These collections, poor as they were, were not made available to the students. The Carthage library, in 1884, was open for only a half hour after lunch each day,[65] in the 1870s Wooster's library was open a few hours each morning,[66] that of Wabash "only a limited period each day,"[67] and the same was true of Illinois College,[68] North Central,[69] Kalamazoo,[70] and Marietta.[71] In 1855, Ohio Wesleyan built the Sturges Library but it was open for only an "hour or two on Saturdays."[72] At Earlham in the 1860s:

> Since there was no full-time oversight, the use of the library was restricted to the girls in the morning hours and to the boys in the afternoon, while the doors to the forbidden side were locked.[73]

At DePauw, before 1880, when regular hours were set, the library was kept locked. To borrow a book a student had first to find the librarian to get the key, go get the book and then return the key.[74]

It has been suggested that, because of the classical curriculum and the textbook method of teaching, students in the mid-nineteenth century did not need a college library.[75] This is demonstrably not true. When the students did not have a satisfactory library they created their own. All of the colleges had literary societies: the Phrenokosmian, the Periclesian, the Ionian, and many more. As the classical curriculum did not provide for instruction in modern literature or forensics the literary society was established to provide these as extracurricular activities; to support these programs the societies established libraries which supplied books for general reading.[76] At Kalamazoo, in 1868, Philolexious had nearly one thousand volumes of historical, biographical, philosophical, and general works.[77] The three societies at Marietta together had seven thousand volumes by 1860 and Psi Gamma had begun the systematic purchase of histories of the early settlements in the Ohio and Mississippi Valleys.[78] In 1869 the Phi Nu at MacMurray boasted of a complete set of Dickens[79] and one society reading room at Augustana received "a score of periodicals in English, Swedish, German, and Norwegian."[80] Mary Watters, writing about MacMurray College, says that because their collections were accessible "society libraries were far more extensively used than the college library."[81] This was probably true at most of the other colleges as well. The students in the nineteenth century Midwestern college needed library service: when the colleges did not provide it, they created it for themselves.

When the college curriculum broadened to include modern literature and as athletic fever swept through the campuses in the 1880s, the societies began to wither; some died, others changed themselves into fraternities and sororities. Athletics had caught the fancy of students and faculty; intercollegiate competition began to blossom and physical education departments appeared. At about this time the college library collections, under the presure of curricular change, began to grow; by the early 1900s they had absorbed the society libraries, and most campuses were in need of a library building. However, at nineteen of the twenty-eight colleges studied, including two of the three women's colleges, a gymnasium was built before a library. At Kenyon some kind of library victory was scored when, in 1881, a cornerstone was laid for a gymnasium, but the building was completed in 1885 as a library.[82] Although many gyms had also to do duty as an auditorium, many of the libraries housed the administration of the college or gave space to one or two academic departments.

Libraries developed slowly and buildings often were constructed only if someone could be found to donate a large sum of money. Sometimes faculty-administration pressure was effective in getting action; sometimes it took external force. When Rockford was denied a Phi Beta Kappa chapter because its library was inadequate[83] and Saint Mary's was rejected by the AAUW for the same reason[84] they began to take effective steps to strengthen their libraries.

If the historians in this study, or the colleges that they wrote about, really believed that the library is the heart of the college, it cannot be said that either demonstrated it. The history of libraries and library service in these colleges is one of benign neglect on the part of the schools; the historians give only cursory attention to the library and, concentrating on the externals of collection size and buildings, rarely exhibit any real understanding of the intrinsic problems of library growth and organization for effective service; and these, of course, are the things that libraries are all about and that are at the heart of the heart of the college.

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ELECTRONIC SECURITY IN LIBRARIES: PERCEPTIONS AND PRACTICES

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Abstract. A survey of the academic libraries in Illinois was conducted to gather data to determine whether the following statements are myths or realities: libraries are turning to the electronic security system as a sole solution to the problem of loss of materials; libraries have unrealistically high expectations for the performance of the electronic security system; and libraries are not approaching the issue of library security in a systematic manner.

Keyword and Phrases. Electronic security systems, Use of quantitative measures, Loss of library materials, Inventories, Security methods.

INTRODUCTION

Most would agree that the characterization which perhaps most accurately describes our times is "the age of technology." In recent years, there has been tremendous growth in the development of advanced technologies, many of which are having a profound impact on the manner in which libraries function. Along with the many benefits and advantages of the new technologies, such as reductions in staff costs, staff time and human error, come certain pitfalls, not the least of which is the possibility of placing too much confidence in the ability of these innovations to perform the tasks for which they were designed.

As the use of electronic security systems in libraries enters its third decade, it is appropriate to examine various aspects of library security practice. This study seeks to determine whether the following statements are myths or realities in academic libraries: libraries are turning to the electronic security system as a sole solution to the problem of loss of materials; libraries have unrealistically high expectations for the performance of the electronic security system; and libraries are not approaching the issue of security in a systematic manner.

This study investigates library security programs by asking the following questions: How do libraries decide whether or not to acquire electronic security systems? What do libraries expect of electronic security systems? How do libraries structure their security programs? How do libraries measure the effectiveness of their security programs and what do the results show? And finally, do libraries find that their security programs meet their needs in deterring the loss of library materials?

METHODOLOGY

The sample group consisted of the 133 academic libraries in Illinois. A brief questionnaire was sent to each of these institutions to determine which used electronic security systems and which did not. The 109 libraries which responded that they were willing to participate in the study were then sent a follow-up questionnaire. Two separate questionnaires were designed, each taking into consideration whether the library used an electronic security system. Of this group, 96 responded: 55.2% used electronic security systems and 44.8% did not.

The libraries surveyed included a wide spectrum of Illinois academic institutions: large research universities, small professional colleges, junior and community colleges, and small liberal arts colleges. Institutions in urban and rural areas, as well as state-supported and privately-funded schools, were represented. As shown in Table I, 46.9% of those responding to the final questionnaire were college and university libraries, 43.7% were community and junior college libraries, and 9.4% were professional college libraries. The statistics reported in this paper were calculated by the total number of respondents for each group unless otherwise noted. Only significant percentages for the non-respondents to a particular question will be reported.

RESULTS

How do libraries decide whether or not to acquire electronic security systems? Several questions were asked to determine the process by which libraries identified the need for and decided whether to acquire an electronic security system. Several aspects of this process were investigated: the factors that led to the decision whether or not to implement an electronic security system; the number of vendors considered and bids received; the amount of time spent in the decision process; and whether a formal proposal requesting funds for an electronic security system was prepared.

Libraries using electronic security systems were asked to indicate which factor(s) led to their decision to implement an electronic security system. The majority (77.4%) named statistics on materials reported missing as being a major factor in their decision. Results of inventories also played an important role, being cited by 68% of the libraries as a significant factor. Complaints by patrons was the third most cited reason, as 58.5% of the libraries named it a major consideration. Book census, advice of consultants, and other factors (such as loss of special collection materials) were

TABLE I

COMPARISONS OF USERS AND NON-USERS OF ELECTRONIC SECURITY SYSTEMS BY TYPE OF INSTITUTION

	COLLEGES/ UNIVERSITIES	COMMUNITY COLLEGES	PROFESSIONAL COLLEGES	TOTAL
USERS OF ELECTRONIC SECURITY SYSTEMS	28 (52.8%)	19 (35.9%)	6 (11.3%)	53 (100.0%)
NON-USERS OF ELECTRONIC SECURITY SYSTEMS	17 (39.5%)	23 (53.5%)	3 (7.0%)	43 (100.0%)
PERCENT OF TOTAL	45 (46.9%)	42 (43.7%)	9 (9.4%)	96 (100.0%)

cited by 56.5% as contributing to the decision. The libraries using electronic systems considered an average of 2.5 vendors, and received an average of 1.5 bids. These libraries typically spent more than six months in the decision-making process. Almost 27% spent more than one year, while 25% spent seven to twelve months. Forty-one percent spent less than six months. A formal proposal requesting funds for an electronic security system was prepared by 73.6% of the libraries.

Libraries not using electronic security systems were asked if the acquisition of such a system had been considered. Those who responded that the library had considered acquisition of a system - almost 75% - were questioned about their decision against acquisition. Of these, 31.3% decided not to acquire a system at all and 56.3% decided to reconsider it at a later time; the remaining libraries had decided to acquire an electronic security system but were either awaiting installation or were still deciding on a vendor. Of the libraries which decided not to acquire an electronic security system, cost was cited by 70% as the primary reason. Only 10% of the libraries indicated satisfaction with their present security program as the major factor against acquisition. Cost was also the most significant decision factor for those libraries that chose to reconsider a system at a later time, being cited by 66.7% of those libraries. The average number of vendors considered by these libraries was 3.3, while the average number of bids received was 2.5. Almost 28% of these libraries spent six months or less in the decision-making process, while 9.4% spent seven to twelve months, and 15.6% spent more than one year. Almost 47% of the libraries which had considered a system did not respond to this question.

These results indicate that the majority of libraries surveyed appear to have approached the decision-making process in a systematic manner. They utilized quantitative measures, especially data on book loss and results of inventories; they examined several vendors; and they prepared formal written proposals.

What do libraries expect of electronic security systems? One of the major aims of this survey was to gain insight into the nature of libraries' expectations of electronic security systems, and more specifically the study sought to determine whether electronic security is viewed as a panacea for the problem of the loss of library materials.

Libraries using electronic security systems were questioned as to their expections for performance of the system prior to its installation. Approximately 72% of the libraries expected a decrease in the loss rate of more than 50%; 17% expected less than 50% of a decrease in the loss rate; and 3.8% did not expect any decrease in the loss rate. Also examined was the intended role the electronic system would play in the overall security program of each library. Almost 74% had intended for the system to serve as the sole method of security, while the remaining 24.5% had intended for the system to be used in conjunction with other security methods.

By comparison, libraries not using electronic security systems were found to have generally lower expectations for performance of an electronic system. Approximately 54% would expect a decrease in their loss rate of more than 50% if they were to install an electronic security system, while 27.9% would expect a decrease of less than 50% in the loss rate; 9.3% of the libraries would not expect a decrease in the loss rate.

Overall, as shown in Table II, all libraries surveyed expressed confidence in the ability of the system to significantly reduce loss of materials, although more of the li-

TABLE II

COMPARISON OF USERS AND NON-USERS OF ELECTRONIC SECURITY SYSTEMS
BY EXPECTED RATE OF DECREASE OF BOOK LOSS

	EXPECTED RATE OF DECREASE OF BOOK LOSS						
	76-100 %	51-75 %	26-50 %	1-25 %	NO DECREASE	NO ANSWER	TOTAL
USERS OF ELECTRONIC SECURITY SYSTEMS	21 (39.6%)	17 (32.1%)	2 (3.8%)	7 (13.2%)	2 (3.8%)	4 (7.5%)	53 (100.0%)
NON-USERS OF ELECTRONIC SECURITY SYSTEMS	13 (30.2%)	10 (23.3%)	5 (11.6%)	7 (16.3%)	4 (9.3%)	4 (9.3%)	43 (100.0%)

braries using electronic security would expect a decrease of greater than 50% in the loss of materials. Libraries using electronic security systems generally expected that the system would be capable of deterring loss without the assistance of other security methods.

How do libraries structure their security programs? A major goal of this survey was to determine if libraries placed a high level of confidence in the effectiveness of the electronic security system, resulting in the use of that system as the sole method of security. In order to determine this, libraries were asked to indicate the security method(s) (i.e., door guards, door alarms, secured windows, etc.) which constitute their total security programs.

When questioned as to the components of their total security programs, all libraries using electronic security systems reported that other methods of security were included in their programs. In fact, 85% of these libraries reported using three or more security methods in addition to the electronic security system.

Of the libraries not using electronic security systems, 23.3% reported using only one method of security, and 39.6% reported using fewer than three security methods.

For a comparison of the security methods being used by both groups of libraries, see Table III. The data show dramatic differences between the security practices of the libraries using electronic security systems and those that do not. It is indicated clearly that the electronic security system is not being depended upon as the sole method of security, as none of the libraries indicated using it exclusively. The use of the electronic security system apparently has not altered the use of other security methods.

How do libraries measure the effectiveness of their security programs and what do the results show? A vital factor in dealing with the issue of the loss of library materials is the systematic collection of data on missing materials. Without some attempt at measuring the loss rate, the effectiveness of a security program cannot be judged accurately.

Each library was asked to name the methods used to measure the loss rate of library materials. Eighty-five percent of the libraries which used electronic security systems monitored loss rate by at least one type of quantitative measure. The majority of this group used inventories (73.6%), while one third kept statistics on materials reported missing; 15.1% used other measures, such as book census, random book count, and sampling; 15.1% reported that they did not collect any statistical data on loss of materials. Seventy-eight percent of the libraries collected this information before and after installation of their electronic security systems, and an overwhelming majority (75%) experienced a decrease of over 50% in their loss rate. Also, 36% issued a status report on the effectiveness of the system, and most reported this information on an annual basis.

Of the libraries not using electronic security systems, 86% used inventory, while 30% used statistics on materials reported missing as a measure of loss rate. Eight-six percent answered that information on lost and missing materials was reported. Forty-four percent report this information annually, 9.3% report biennially, and the remainder report on an irregular basis. Only 16% of the libraries not using electronic security systems reported that their loss rate was decreasing, while nearly 20% cited an increase in loss. Over half of the libraries reported that their loss rate was generally stable.

These results indicate that libraries are using quantitative measures to monitor their security programs, and that this information is reported, often on a regular basis. Li-

TABLE III

COMPARISON OF USERS AND NON-USERS OF ELECTRONIC SECURITY SYSTEMS BY OTHER SECURITY METHODS USED

	USERS OF ELECTRONIC SECURITY SYSTEMS	NON-USERS OF ELECTRONIC SECURITY SYSTEMS
DOOR GUARDS	17.0%	9.3%
DOOR ALARMS	69.8%	18.6%
SECURITY PATROLS	17.0%	11.6%
CIRCULATION DESK ATTENDENTS	77.3%	86.0%
SECURED WINDOWS	35.8%	27.9%
RESTRICTED USE OF KEYS	54.7%	37.2%
RESTRICTED ACCESS TO THE LIBRARY	54.7%	25.6%
CLEAR MARKING OF LIBRARY MATERIALS	77.3%	69.8%

braries using electronic security systems reported a significant reduction in loss rate after the installation of an electronic system. It is important to note that few of the libraries not using electronic security have experienced a decrease in loss of materials.

Do libraries find that their security programs meet their needs in deterring loss of library materials? In order to deal effectively with the issue of library security, a library must evaluate the success of its security program in meeting stated needs, goals and objectives. Evaluation of a program involves not only the analysis of quantitative data, but also the assessment of a program's overall performance, thereby including the formulation of perceptions of that program's performance.

Libraries using electronic security systems were asked to evaluate their security programs in two categories. First they were asked to indicate the degree to which the performance of their electronic security systems had surpassed or failed their expectations. The majority of the libraries (62.2%) reported that the performance of their electronic security systems had surpassed their expectations, while 17% said that the systems had met their expectations. Only 7.6% reported that the electronic security systems had not met their expectations. These libraries then were asked to rate, on a scale of +5 to -5, the degree to which their total security programs met their needs in deterring loss of materials. Sixty-four percent of these libraries indicated a value on the positive side of the scale, 47.2% reporting a value of +3 or higher. Only 13.2% indicated a value on the negative side of the scale; the lowest value reported was -3.

Libraries not using electronic security systems were also asked to rate, on a scale of +5 to -5, the degree to which their total security programs met their needs in deterring loss of materials. In contrast to the libraries using electronic security systems, 37.2% indicated a value on the negative side of the scale, while 30.2% indicated a value on the positive side. The highest value reported was +4 (7%), whereas 23.3% reported a negative value of -3 or below.

These statistics imply that the majority of libraries using electronic security systems perceive that their total security programs are highly successful in meeting their needs, while a significant percentage of the libraries not using electronic security systems perceive that their total security programs are not meeting their needs.

CONCLUSION

The intent of this survey was to understand the manner in which libraries decide to acquire, integrate and evaluate electronic security systems. The information collected appears to disprove the myths presented in the introduction of this paper. Although libraries using electronic security systems generally had intended to use the electronic system as a sole method of security, none of the libraries used the system in that manner; libraries using electronic security systems, in fact, used a greater number of security methods than those libraries not using electronic security systems. A strong majority of the libraries using electronic security systems had expected the use of an electronic system to decrease the rate of loss of materials by at least 50%; the majority of the libraries which had monitored the loss of materials before and after installation of an electronic security system indicated that losses indeed had decreased by over 50%. Libraries surveyed generally reported heavy use of quantitative measures in monitoring the rate of loss of library materials, and libraries using electronic security systems cited those measurements as forming the basis for the decision to acquire an electronic security system.

APPENDIX A

Questionnaire for Libraries Using Electronic Security Systems

1. Which type of electronic theft detection system is being used in your library?
   ( ) full-circulating (materials desensitized when charged out)
   ( ) by-pass (materials not desensitized when charged out)

2. How long has the system been in use?

3. What were the factors that led to the decision to install an electronic theft detection system? (Please mark those factors of primary significance with an "A", those of secondary significance with a "B"; leave blank if not a factor.)
   ( ) inventory
   ( ) book census (i.e., book count)
   ( ) statistics on lost/missing materials
   ( ) complaints by patrons
   ( ) consultant
   ( ) other (please specify):

4. Approximately how many vendors were considered?

5. Approximately how many bids were submitted?

6. Approximately how much time was spent in deciding to install an electronic theft detection system (from the initial proposal of the idea to the final selection of a specific vendor and system)?
   ( ) 0 - 6 months
   ( ) 7 - 12 months
   ( ) more than 12 months

7. Was a formal proposal requesting funds for the system prepared?
   ( ) yes
   ( ) no

8. Who made the decision to acquire the system?
   ( ) library director
   ( ) library committee
   ( ) department/division in library
   ( ) board or trustees of institution
   ( ) other (please specify):

9. Initially, was the system intended to:
   ( ) serve as the sole method of security
   ( ) be used in conjunction with other security measures

10. Prior to implementation, did you expect the system to decrease theft of library materials by:
   ( ) 76 - 100%
   ( ) 51 - 75%
   ( ) 26 - 50%
   ( ) 1 - 25%
   ( ) did not expect theft to decrease

11. What method(s) do you use to measure theft/loss of library materials?
   ( ) inventory
   ( ) book census (i.e., book count)
   ( ) statistics on materials reported missing
   ( ) this type of information not collected
   ( ) other (please specify):

12. Did you collect this information before and after the installation of the electronic theft detection system?
   ( ) yes
   ( ) no

13. If you collected this type of information before and after the installation of the electronic theft detection system, did you find that:
   ( ) theft/loss decreased 76-100%
   ( ) theft/loss decreased 51- 75%
   ( ) theft/loss decreased 26- 50%
   ( ) theft/loss decreased 1- 25%
   ( ) theft/loss rate did not change
   ( ) theft/loss increased

14. Has a status report on the effectiveness of the system since its installation been prepared?
   ( ) yes
   ( ) no

15. How often is this information reported?

16. Overall, has the electronic theft detection system (please circle one):
   greatly surpassed expectations 5 4 3 2 1 0 1 2 3 4 5 greatly failed expectations

17. Which of the following security measures are being used in conjunction with your electronic theft detection system to deter theft of library materials? (Please check all applicable methods.)
   ( ) door guards
   ( ) door alarms
   ( ) security patrols (campus police)
   ( ) circulation desk attendants
   ( ) secured windows
   ( ) restricted use of keys
   ( ) restricted access to the library
   ( ) clear marking of all library materials
   ( ) other (please specify):

18. Who in the library is responsible for matters relating to library security (Please give the title of the position and the department/division of which it is a part.)

19. Do you find that your total program of security meets your needs in deterring theft/loss of library materials? (Please circle one.)
   totally meets needs 5 4 3 2 1 0 1 2 3 4 5 totally fails needs

20. Please comment on the selection, expectations, and/or effectiveness of your security program.

APPENDIX B

Questionnaire for Libraries Not Using Electronic Security Systems

1. Which of the following security measures are being used to deter theft of library materials in your library? (Please check all applicable methods.)
   ( ) door guards
   ( ) door alarms
   ( ) security patrols (campus police)
   ( ) circulation desk attendants
   ( ) secured windows
   ( ) restricted use of keys
   ( ) restricted access to the library
   ( ) clear marking of all library materials
   ( ) other (please specify):

2. Which security measure (if any) would you say is the primary component of your security program?

3. What method(s) do you use to monitor theft/loss of library materials?
   ( ) inventory
   ( ) book census (i.e., book count)
   ( ) statistics on materials reported missing
   ( ) this type of information not collected
   ( ) other (please specify):

4. How often is this information reported?

5. Generally speaking, is the rate of theft/loss in your library:
   ( ) decreasing
   ( ) increasing
   ( ) stable

6. In your opinion, would an electronic theft detection system be likely to decrease theft/loss of library materials by:
   ( ) 76 - 100%
   ( ) 51 - 75%
   ( ) 26 - 50%
   ( ) 1 - 25%
   ( ) would not decrease theft/loss

7. Has your library considered acquiring an electronic theft detection system?
   ( ) yes
   ( ) no

8. If so, what decision was made?
   ( ) not to acquire
   ( ) to reconsider at a later time
   ( ) library has decided to acquire an electronic theft detection system, but system is not yet in operation

9. If your library has decided not to acquire an electronic theft detection system, what factors led to that decision? (Please mark those factors of primary significance with an "A", those of secondary significance with a "B"; leave blank if not a factor.)
   ( ) satisfaction with present security system
   ( ) consultant
   ( ) cost
   ( ) other (please specify):

10. If your library has decided to acquire an electronic theft detection system, what factors led to that decision? (Please mark those factors of primary significance with an "A", those of secondary significance with a "B"; leave blank if not a factor.)
   ( ) inventory
   ( ) book census (i.e., book count)
   ( ) statistics on lost/missing materials
   ( ) complaints by patrons
   ( ) consultant
   ( ) other (please specify):

11. Approximately how many vendors were considered?

12. Approximately how many bids were submitted?

13. Approximately how much time was spent in deciding to acquire/not acquire an electronic theft detection system (from the initial proposal of the idea to the final decision)?
   ( ) 0 - 6 months
   ( ) 7 - 12 months
   ( ) more than 12 months

14. Who made the decision to acquire/not to acquire an electronic theft detection system?
   ( ) library director
   ( ) library committee
   ( ) department/division in library
   ( ) board or trustees of institution
   ( ) other (please specify):

15. Do you find that your total security program meets your needs in deterring theft/loss of library materials? (Please circle one.)

totally meets needs	5 4 3 2 1 0 1 2 3 4 5	totally fails needs

16. Who in the library is responsible for decisions relating to library security? (Please give the title of the position and the department/division of which it is a part.)

17. Please comment briefly on the selection, expectations, and/or effectiveness of your security program.

THE MYTH OF COLLECTION SECURITY IN URBAN UNIVERSITY LIBRARIES

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Abstract. Library directors in universities that are members of the Association of Urban Universities were surveyed concerning security of the general collection and the degree to which collection security measures are formalized by written policy statements and practice. While the majority of these libraries use electronic book theft detection systems, most do not employ system monitors or take punitive actions. Few libraries have written policies. Electronic security systems are not sufficient protection. Librarians must enhance the security of the general collection with detailed procedures to supplement electronic security systems.

Keywords and Phrases. Theft prevention, electronic security systems, book mutilation, library security, theft detection systems, book security systems.

Research indicates a library loses one percent to six percent of its collection per year to theft and mutilation.[1] Although a loss rate of this magnitude, if sustained over a prolonged period without replacements, will vitiate a collection, the problem remains universal. In fact, this loss problem, while much ballyhooed, also remains unsolved. Electronic book theft detection systems have been in use for more than ten years and yet, key issues surrounding their use continue largely unaddressed. The purpose of this paper is to describe collection security measures extant in a selected group of urban university libraries and the degree to which these measures are formalized by written policy statements and practice.

REVIEW OF THE LITERATURE

A National Survey on Library Security[2] included data on such concerns as vandalism, nonreturn of library material, the physical protection of library users and staff, and architectural features necessary for building security. Seventy-three percent of the chief librarians of the 255 public libraries surveyed rated book theft as their number one problem!

Concern for book theft from and mutilation of the general collection dates to medieval times when the collection was chained to library tables. Since then, other approaches to securing the collection have included the use of closed stacks, staffed and non-staffed cloakrooms,[3] individualized searches of belongings at the exit, and body searches.[4] The availability of inexpensive photocopying, the requirement of a valid identification card at the library entrance,[5] the analysis of the relationship of theft to the size and degree of enforcement of library fines,[6] and the surveillance of the library with CCTV[7] have also been attempted. In addition, the use of ownership markings on library materials,[8] employee termination procedures,[9] precision scales for weighing library materials as they are checked out and back in,[10] elaborate signage programs,[11] and electronic book theft detection systems have been tried. Despite these efforts to secure the general collection, the theft and mutilation problem continues.

A 1979 review of the literature[12] revealed the preponderance of articles on book theft and mutilation deals with archival security or comparisons/evaluations of various electronic book theft detection systems. A recent computer-assisted review of the topic yielded similar results. Additionally, other articles approach the topic by presenting "shopping lists" of possible solutions,[13] and case studies.[14] Despite the publication of The Journal of Library and Archival Security, attention to security of the general collection is superficial. Specific solutions are rare.[15] Consequently, the real issues of collection security--mutilation and follow-through on attempted thefts--lead to the collective professional sense of helplessness, frustration, and despair.

Richards' study of how academic libraries treat offenders known to have stolen library materials resulted in " . . . 81 replies [that present] a picture of dissatisfaction and helplessness with no pattern or formula prevailing."[16] In addition, he found collection security policies were avoided in an effort to maintain the ". . . friendly open atmosphere"[17] of the library!

Although collection security is not a problem peculiar to any single type or size of library, the urban university library typifies the full range of problems with significant intensity and frequency. A telephone survey of six urban university libraries was conducted by one of the authors in 1983. Its purpose was to supplement the literature review and to support one library's stringent policy and detailed procedures. An assumption was made that if anyone had a collection security policy and was actively following it, it would be urban libraries. The results were surprising and supported Richards' finding of procedural chaos. Of the six libraries surveyed, four had electronic book theft detection systems but only two provided the necessary written follow-through documentation for their system operators.

Writing in 1977, Rappaport cautioned:

> The most difficult part of the installation of an electronic security system is what to do with students or members of the public who are actually caught in the act of stealing a book. This problem must be resolved before the installation of a system takes place.[18]

However, none of the six urban university libraries has written policies! Although some state codes now permit academic institutions to develop legally-oriented policies to support electronic book theft detection systems, many institutions have adopted a "wait and see" posture and have chosen not to address the problem. Only one of the six urban universities surveyed has a strong library security policy which includes clearly-defined procedures for dealing with persons stealing library materials. In most instances, official library policy calls for acceptance of the idea that the patron merely "forgot" to charge out the item.

One important by-product of the vigorous enforcement of a stringent collection security policy is the seemingly inevitable significant increase in mutilation.[19] Hendrick and Murfin queried 168 students about periodical mutilation at Kent State University. Few differences were found between mutilators and non-mutilators.[20] Expanding on this idea, Weiss studied 201 students of a large urban university to determine why students steal and mutilate library materials. Academic pressure and individual socio-psychological variables were deemed responsible.[21] In the telephone survey, however, when questioned about the procedure for theft and mutilation of periodicals, one middle manager indicated that his institution did not have that problem as the library asks faculty not to make assignments which require the use of periodicals!

METHODOLOGY

To gather information on collection security policies and procedures in a representative group of urban university libraries, a questionnaire (Appendix A) was developed. Questions dealt with the use of electronic book theft detection systems, the employment of door guards or system monitors, punitive actions taken against persons found attempting to steal library materials or found with mutilated library materials in their possession, and the existence of written collection security policies.

For the purposes of this survey, the library directors in universities that are members of the Association of Urban Universities were surveyed. There are twenty-six universities in the Association (Appendix B). Because of their identities as urban universities they share certain common concerns and problems. Among these are their locations in highly-populated areas and their diversity of clientele which frequently includes many persons unaffiliated with the university. The researchers' institution is a member of the Association but was not included in the survey. Therefore, the total number of libraries surveyed was twenty-five. Complete responses were obtained from eighteen of the twenty-five, a response rate of 72 percent. As the data were nominal, frequency distributions were used in analysis.

FINDINGS

The first question in the survey concerned the use of electronic book theft detection systems. Seventeen of the eighteen respondents, 94 percent, have such systems in use. This percentage of use indicates a high level of perceived need for collection security procedures among Association member libraries. The systems in use are 3-M Tattle-Tape in thirteen libraries, Checkpoint in three libraries, and Knogo in one library.

The employment of staff specifically for library collection security purposes is not as prevalent. The one library which does not use an electronic system employs full-time staff for this purpose. These Library Assistants earn an annual salary of $12,000. Of the seventeen respondents using electronic systems, eleven (65 percent) do not employ individuals whose primary responsibilities are to serve as exit system monitors. Six institutions (35 percent) do employ such individuals. The status of these individuals can be summarized as follows:

- one institution employs library part-time staff at $3.75 per hour. This position is entitled student assistant and the incumbent reports to a Library Assistant II in the Circulation Department.
- two institutions employ full-time library staff as exit monitors at an average salary of $11,750. These positions are entitled Library Assistant or Turnstile Attendant and both report to the Head of the Circulation Department.
- two institutions employ campus security personnel. One library pays an hourly rate of $4.00, while the other pays an average annual rate of $16,172. Security Guard is the position title for both and the Campus Security Guard in the Library is the supervisor.
- one institution uses a combination of campus security personnel and part-time student assistants hired by the library. Library employees are used for late nights, weekends, and substitutions. Rates of pay were not reported. The

position title for the non-library employee is Exit Attendant. Both types of employees for this task report to the Head of the Circulation Department.
-one institution uses part-time and full-time library employees with the position title of Library Attendant for both. The rate of pay is $4.85 per hour. Both types of employees report to the Stacks Supervisor.

Schindler indicates that the ". . . image of security projected by the personnel"[22] is important. Of the seven institutions that do employ staff for exit control, four do not have them wear special clothing; three do require special clothing. Security guard or police-type uniforms and/or blazers of a common cut or color are the special clothing of choice.

Of those seven institutions hiring exit monitors, two authorize those monitors to question; three authorize them to question and detain; and two authorize them to question, detain, and search. None of the institutions reported that exit control staff have the authority to arrest.

Weiss' study of students in a large urban university indicated that most students who violate library rules do so because they perceive no danger of being caught.[23] In this survey, ten institutions, or 56 percent do take some form of punitive action when uncharged library materials are detected on the person or in the unauthorized possession of someone exiting the library; eight, or 44 percent, take no such action. The punitive actions are summarized as follows:

-referral to Student Services Department for discipline resulting in suspension or heavy fines.
-discipline imposed depends on the incident.
-referral to the Dean of Students' for student violators; referral to the dean, principal, etc., of their institution and suspension of borrowing privileges for non-university students; referral to their department head or dean for faculty/staff; and suspension of their borrowing privileges for non-university-affiliated offenders.
-reprimand by the university police if the offender is affiliated with the university. If items are mutilated, a dollar amount is charged.
-report, for second offenders only, is made to the Dean of Students and the Administrative Dean.
-report, via the Student Affairs office, to the academic dean of the school in which the offender is enrolled. The library administration is also notified.
-action of an unspecified nature is taken only for repeat offenders or in cases of gross theft.

Despite the urban locations of these institutions, only one addressed the problem of theft or mutilation by non-affiliated individuals.

Of the ten institutions which take some punitive action for attempted theft or mutilation, all involve Campus Police or Security; two involve the municipal police; six include the student judicial system; and eight include the Dean of Students office.

Responses were varied to the question concerning which university officials were involved in the development of collection security procedures. Thirty-nine percent (seven) of the procedures were developed by library personnel; 11 percent were developed by library personnel in concert with university administrators; and another 11 percent were developed by university administrators in concert with the campus police. Other individual institutions involved campus police only, library staff in concert with campus police, university administration only, and library staff in concert with both the campus police and the university administration.

Fifty percent of the respondents pursue situations involving university students, faculty, and staff differently from those involving non-affiliated persons. In all cases, the format of the material made no difference in the way the situation was handled.

DISCUSSION

A majority (61 percent) of the libraries studied do not employ exit monitors to supplement book theft detection systems. Other library staff are expected to monitor these systems in addition to their other duties. It is not known whether these libraries have exit gates contiguous to the circulation desk or to another fully-staffed area. Experience indicates that if the electronic system is not adjacent to a staffed area and does not have a system monitor, collection security is regarded as a low priority by library users. In times of peak use of the nearby staffed area, the "false alarm" excuse may be quickly invoked to facilitate egress. Again, this practice conveys to users the idea that collection security has a low priority. A dedicated system monitor is able to investigate every possible cause of an alarm in order to locate the targeted item so it may be desensitized.

If electronic book theft detection systems alone are not sufficient to deter or stop thefts, they certainly are not a significant deterrent to mutilations. In fact, mutilation increases as collection security measures toughen.[24] Only a system monitor with collection security as a primary priority has the time and the authorization to pursue these "false alarms" to the point of discovering a carefully concealed and targeted journal article.

While fifteen respondents (83 percent) indicated involvement of a variety of university officials in the development of collection security policies, only four, or 22 percent, stated that such a policy existed in written form. If the use of expensive electronic book theft detection systems is any indication of the perceived need for collection security measures, as indicated by 94 percent of the respondents, it is shocking to note that so few institutions are supported by written collection security policies and procedures. No indications of the level of institutional and legal review of these policies were cited. A comprehensive review of a detailed written collection security policy and procedures should be executed at all academic levels. This review should include scrutiny by university legal staff as well as an analysis by any external law enforcement agency that may become involved. Detailed procedures should be written from the perspective of each level of employee who will be involved. Publicity in campus newspapers, deans meetings, senate meetings, and every other formal avenue in the university should be boldly undertaken. Staff actions at the sound of a gate alarm should be consistent for all types of users. This is only possible when procedures are detailed.

Of those institutions that do pursue punitive measures for library theft or mutilation, the majority use the student court system, campus police or security, the dean of students office, or the academic dean's office for retributive action. This pursuit of punitive measures internally reinforces the students' view that the crimes of book theft and mutilation are academic crimes.[25] Further, since the population of this study is urban university libraries, it is logical to assume that these libraries are visited and used by many individuals not affiliated with the university. Given the heavy use by these non-affiliated individuals as well as the university commitment to lifelong learning, the internal treatment of attempted theft or mutilation is ineffective and inappropriate. The written policy must address these individuals as well.

Finally, and most reprehensible, 44 percent of the respondents to this survey take no action when uncharged library materials are detected on the person of someone exiting the library. As the Weiss study indicates, students steal or mutilate library materials because they do not believe that they will be caught and, if caught, they do not believe they will be punished.[26] Weiss further reported,

> The impersonal structure of the university may also contribute to antisocial behavior in the library . . . . The fact that the library does not apprehend the student sets up the cycle of repeated theft and the student becomes unafraid of the consequences of his or her actions.[27]

Certainly, non-affiliated users share this feeling of anomie vis a vis the institution and act upon it.

CONCLUSION

The reality of securing the general collection in today's urban university library is complex. It includes multifaceted problems which many librarians assumed would disappear with the installation of electronic book theft detection systems. Instead, the significant issues related to collection security have burgeoned. A comprehensive plan for collection security must include provision for apprehending book thieves and mutilators. Richard Boss briefly defines the comprehensive plan necessary for effective collection security. However, he concludes, "Electronic security systems should be the last step in a comprehensive security plan . . . or library security will be a myth."[28]

The authors argue that electronic book theft detection systems may be only a midpoint in a comprehensive plan. They agree,

> In a society where law is fundamental, we have no alternative but to seek whatever legal remedies are available to correct wrongs that have been committed. Moreover, if theft from libraries . . . has reached alarming proportions, . . . then it is imperative to take all necessary measures to protect these institutions' resources.[29]

Electronic security must be supplemented by written policies and procedures which have survived all appropriate levels of administrative and legal review. Policies must include a rationale for their existence. Procedures must be precise, must deal with routine contingencies, and must be written and compiled from the perspective of all staff who must use them in their work. Staff must be employed to devote full attention to the exit and to assure that procedures are consistently practiced. These procedures must include provisions for the treatment of non-affiliated users who are stopped by the electronic system. Punishment must be detailed and must be administered equitably within the framework of the local applicable laws. Policies, procedures, and possible punishments must be publicized at all opportunities.

In summary, the myth of collection security in the urban university library is that we, as librarians, cannot enhance the security of our collections. In reality, we can. We must.

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APPENDIX A: COLLECTION SECURITY SURVEY

1. Do you have an electronic book theft detection system in use?
   YES_____ NO_____

   If yes, name the brand or briefly describe the system.

2. Do you employ individuals whose primary responsibilities are as door checkers or system monitors?
   YES_____ NO_____

3. If yes, what type of staff is used?
   _____Library part time
   - -At what pay level? (Give average hourly rate of pay)._______
   - -What is the position title?____
   - -To whom do they report? (Use position title.) _____________

3. _____Library full time
-At what pay level? (Give approximate annual rate of pay.) _____
-What is the position title? _____
-To whom do they report? (Use position title.) _______________
_____Campus security personnel
-At what pay level? (Give approximate annual rate of pay.) _____
-What is the position title? _____
-To whom do they report? (Use position title.) _______________
_____Contracted other
-At what pay level? (Give approximate hourly rate of pay.) _____
-What is the position title? _____
-To whom do they report? (Use position title.) _______________
-Briefly summarize the specifics of the contract.

4. Do these monitors wear special clothing?
YES _____ NO _____

If yes, please describe.

5. Which of the following levels of authority do the door monitors hold:

Question?	YES _____	NO _____
Detain?	YES _____	NO _____
Search?	YES _____	NO _____
Arrest?	YES _____	NO _____

6. Are punitive actions taken when uncharged library materials are detected on the person or in the unauthorized possession of someone exiting the library?
YES _____ NO _____

If yes, please explain the type of actions taken.

7. Do any of these actions involve the:

Campus Police or Security?	YES ____	NO ____
Municipal Police?	YES ____	NO ____
Campus Judicial System?	YES ____	NO ____
Court System?	YES ____	NO ____
Dean of Students Office?	YES ____	NO ____

Other? Please identify. _____________________

8. What university officials have been involved in the development of your collection security policies? Please give titles of all positions.

9. Do you pursue situations involving university students, faculty or staff differently than those involving non-affiliated persons?
YES _____ NO _____
If yes, describe.

10. Do you pursue the attempted theft or mutilation of materials differently based on the format of the material?
YES _____ NO _____
If yes, explain.

11. Do you have a written collection security policy? YES _____ NO _____

If yes, we would appreciate your sharing a copy with us.

APPENDIX B: THE ASSOCIATION OF URBAN UNIVERSITIES, JUNE 30, 1983

Brooklyn College
Chicago State University
City College of the City University of New York
City University of New York
Cleveland State University
Columbia College
George Mason University
Georgetown University
Georgia State University
New Jersey Institute of Technology
New York Institute of Technology
New York University
Northeastern Illinois University
Northeastern University
Old Dominion University
Temple University
Texas Southern University
University of Arkansas at Little Rock
University of the District of Columbia
University of Houston
University of Illinois-Chicago Circle
University of Massachusetts at Boston
University of Minnesota/St. Paul
University of Missouri/Kansas City
University of Nebraska at Omaha
University of Rhode Island

DEMYTHOLOGIZING CONTINUING EDUCATION

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Abstract. This paper examines the question of continuing education for librarians and concludes on the basis of evidence in hand that establishing and attempting to enforce requirements for continuing education is unwarranted, unnecessary, unwise, and probably counterproductive. As an alternative, a means of upgrading both preservice and in-service library education is suggested, which alternative would simultaneously obviate the need for compulsion.

A recent article in the Library Journal points out that the issues of professional identity, professional education, and professional development have plagued librarianship for many years. What aggrevates these concerns today, according to this article is ". . . change and the profession's response to this change."[1] One response to changes affecting the field has been the extension of some MLS programs from one to two years.[2]

A couple of years ago Leonard[3] explored the reasons behind the growing interest in two-year graduate programs in library science and concluded that they were mostly self-serving in that the sole beneficiary of such programs would be the library schools that are also their chief advocates. This comes about because dwindling library school enrollments would, at least in the short run, be stablized. Given this, he goes on to argue that the benefits claimed for the two-year program could better be achieved by retaining and upgrading the one-year MLS and instituting a mandatory continuing education requirement for librarians who have completed the degree.

I believe that Leonard is right about the two-year graduate programs in library science, i.e., unless significant curricular changes are made all of the benefits would accrue to the library schools. The literature of librarianship contains numerous expressions of concern over the state of library education in this country,[4] and many librarians question the worth of it beyond simply providing the work permit that is an MLS.[5] However, his assumption that all of the alleged benefits of the two-year programs can be achieved and all of their pitfalls avoided by substituting mandatory continuing education for the additional year of library school is troublesome, for mandatory continuing education has a number of undesirable side-effects.

In her inaugural address as ALA President, Brooke Sheldon ". . . elevated continuing education and retraining for the profession to the 'first priority' on her agenda for ALA's 1983-84 year."[6] In commenting on Sheldon's proposal, John Berry notes that "Despite Sheldon's reassurances that ALA will not embark on a 'mindless proliferation of courses,' and that ALA continuing education packages will be delivered 'at cost,' we have doubts."[7]

Consider this in light of a "modest proposal" made tongue-in-cheek by Daniel B. Morris, an English professor at the University of Iowa, who published a very well-done and humorous piece in "Point of View" on the back page of the Chronicle of Higher Education entitled "College Degrees, Like Credit Cards, Should Have an Expiration Date." In his essay, Morris, however obliquely, makes a number of salient points having to do with continuing education. Let me attempt to give you both the gist and flavor of it.

Morris starts from the premiss that "A quality product in the education industry demands attention to the principles of sound accounting . . . Top management--in industry, in government, and (belatedly) in education--knows that what counts ultimately is the bottom line."

Morris notes that ". . . the key to financial independence for American higher education" may lie in replacing the traditional diploma with ". . . a plastic card . . . suitable for wallet or purse and imprinted with numerals that no other portable degree may duplicate."

He goes on to explain that, normally, ". . . Credit exists only by virtue of its renewability;" but, "Degrees . . . retain their value and usefulness indefinitely, even though you may have forgotten most of what you learned."

He continues:

> Education is the sole American industry that extends to its clients and consumers an unlimited, unexpiring, irrevocable line of credit. But what if every academic degree, on its plastic surface, contained an expiration date?
>
> The expired degree has a self-evident logic that could revolutionize American education. Imagine graduates who faced, 10 years into their careers, the revocation of their degrees . . . What would they not give to get it back? Educators, holding the means of renewal, would discover new economic

> power. The term "academic marketplace" would become more than a metaphor, once bursars are the merchants of a booming new enterprise in recertification.

Morris proposes ". . . two remedies for people whose intellectual credit has expired . . .

The first would be to make a substantial cash payment and continuing bequest (tax-deductible, of course) to the alumni fund. The second would be to earn 12 hours of college credit within two years of their degree's expiration date. Such business-like procedures would be easy to arrange, and graduates who allow their degrees to lapse would have only themselves to blame."

In conclusion Morris admonishes us to ". . . move boldly toward a solution that will allow the university, as it so earnestly desires, to emulate a well-run corporation. Let us, to this worthy end, give every graduating senior a plastic card, bearing the traditional seals and mottos and insignia of specific institutions, ticking in silence toward its raised black date of expiration."[8]

Either the two-year MLS or mandatory continuing education would constitute a windfall for hungry institutions such as library schools, ALA, its divisions, etc.[9] In the case of required continuing education, many of these may be tempted to set-up programs specifically to fill an artificially created need for numbers and simultaneously to offset a negative cash flow. A focus on numbers rather than performance can lead to the "mindless proliferation" of nearly worthless conferences, courses, workshops, seminars, etc.,[10] that Sheldon rejects, and a system that rewards the mere accumulation of counters, i.e., the much touted continuing education unit or CEU which ". . . measures the quantity of non-credit education."[11] Mandatory continuing education runs the same risk as a two-year MLS program of being simply "more of the same" old stuff usually served up in library school courses "which may or may not reflect the reality of the contemporary library working environment."[12] Too frequently, as library practioners know, they do not.[13]

The emphasis on bean-counting that often perfuses continuing education programs--whether enforced by a national certification requirement for all librarians or the edicts of a professional association governing a subset of the population[14]--would lead only to the requirement for periodic revalidation of a work permit, i.e., prevent the expiration of a degree, without necessarily contributing anything to the competence and professional growth of librarians. Such a system holds every promise, then, of making library education even less credible than it is at present.[15]

Overt opposition to mandatory continuing education for professionals of all sorts surfaced years ago, when educators themselves began expressing concern over the quality of professional continuing education programs and continues today.[16] Specialists in adult education have stressed the need for studies of the relationship between compulsory continuing education and professional competence before any additional requirements for the former are mandated.[17]

At least one such study, reported in the New England Journal of Medicine, shows that physicians completing continuing medical education modules ". . . had neither clinically important nor statistically significant improvements in the documented overall quality of care that they provided . . ." even when the sample population was limited to patients whose conditions were specifically those covered by the content of the modules.[18]

This may very well be a result of the fact that continuing education does not

> . . . fit neatly into modular units with defined objectives and a beginning, middle and end that can be measured for the sake of awarding the proper number of Brownie points. In actuality the structure of continuing education is more fragmentary than modular. It is intensely practical in orientation . . . And a virtual rule of thumb is that really important messages should (and will) be restated incessently in many sources; they should not and do not reside exclusively in expensive courses . . .[19]

In librarianship the problem of the effectiveness of continuing education is complicated by the fact that, in general, "The gap between practice and teaching, between abstraction and practicality, is probably larger . . . than in any other profession."[20] Thus, what appears to be the case for continuing education in the professions generally --namely, that there is no evidence to support the claim that professional performance is enhanced by a requirement for continuing education--constitutes an especially significant and difficult problem for librarianship.

At the same time, however, it is also true that

> . . . with the large number of new fields and new interests that

> are emerging . . . No librarian can be expected to provide quality service over a period of as much as forty years simply on the basis of what was learned in a graduate library program and what may be learned directly through work experience. Formal and informal programs designed to update knowledge, to keep abreast of current developments, and to add new skills must be made readily available.[21]

What, then, is a poor librarian to do?

A way out of this apparent dilemma is, perhaps, available by generalizing a suggestion for reforming and revitalizing the teaching of technical services offered by Michael Gorman. Gorman explores the notion of "teaching libraries;" i.e., major academic and research libraries that would perform a function in library education analagous to that performed by teaching hospitals in medical education. He avers that such an approach to the teaching of technical services would at once be ". . . more academically rigorous and challenging and, simultaneously, more practical" than present methods. In particular, he asserts that "Teaching libraries would be ideal vehicles for systematic continuing education. They could provide experienced, practicing librarians with short courses giving both educational updates and practical experience of the new . . ."[22]

Although Gorman restricts his arguments to the teaching of technical services, it is easy enough to extend them to all aspects of librarianship. His proposal would be effective because certain practical and applied arts and sciences, i.e., crafts or technical specialties, can only be taught in a "hands-on environment"; and librarianship, properly understood, is one of these. At the same time, such a program would foster the kind of reality-based, purposive, goal-oriented, problem-centered research that has been and is lacking in the field;[23] i.e., it would, at last, give a basis in fact for the now largely presumptuous appellation "library science". As Gorman points out, "In a teaching library all librarians and students would be involved in research as a means to an end--the betterment of library service--rather than as an end in itself. Thus we could sweep aside the navel-gazing and introversion of much contemporary library 'research' and infuse the research process with a new spirit."[24]

Gorman's proposal, as formulated, may be unwieldy and impractical inasmuch as it is a direct, frontal assault on the problem which may raise questions of feasibility from the standpoint of the teaching library. That is, the primary mission of large academic and research libraries is not to teach librarians and students of librarianship their craft, but to provide service to the library's various constituencies. The teaching library concept, therefore, requires considerable refinement so that its implementation would be unobtrusive and, at least, not interfere with the service commitments of the libraries involved.[25]

It is obviously not impossible to integrate teaching of this kind with service, however, since many of the best hospitals in the country are also teaching hospitals--indeed it is likely that there is some mutual causality between excellence and teaching. Assuming that such refinements can be made, then, Gorman's proposal remains an appealing, attractive, and promising one.

There are several proposals and programs that resemble Gorman's in concept. The CLR Professional Education program is similar. Patricia Battin has suggested a plan that resembles Gorman's in many respects, albeit of more limited scope, for ". . . developing a graduate educational program in the research libraries . . ."[26] modeled after those set-up by large corporations. The University of Michigan ". . . is embarking on a program that attempts to place equal weight on the developmental needs of both new and seasoned professionals."[27]

The most important factor that argues against compulsory continuing education as a quick fix for the problem of sustained professional competency in librarianship is the rapid rate of technological change in the field and the increasing complexity of the technological environment. That is, there

> . . . are important and challenging questions facing the personnel of every library/information agency in a world of rapid technological advances and change. The opportunities and perplexities inherent in the computer society can be confusing and, at times, overwhelming to both those personnel who must make decisions and those who must live with the decisions and make them work. It is a time when continuing education becomes a coping mechanism and not a sometime luxury. In fact, there has never before been a time when continuing education has been as critical to professional performance and competence as it is today.[28]

Even librarians not directly involved in "human/machine interfaces" will be required to have at least some familiarity with the electronic wizardry in order to cope with secondary, tertiary, and even quaternary effects of a growing reliance on machines. The kind of knowledge that is and will increasingly be required to cope with libraries of the future is not amenable to transmission via quick and dirty continuing education modules, but requires instead a dedicated and protracted effort that must be largely self-motivated, self-initiated, self-directed, self-sustaining and may very well involve skills and areas of knowledge not ordinarily thought of as a proper part of librarianship. Absent interest, imagination, and initiative on the part of librarians, mandatory continuing education will never achieve its purpose; with them and sufficient opportunity for training, it is unnecessary.

In sum, although continuing education is held out as a panacea it will fall short of its goal unless the whole system of library education in this country is radically changed in some way such as that suggested above. Any form of mandatory continuing education in the usual sense ignores the serious problem of insuring quality, rigor, and relevance in continuing education courses in the absence of free-market forces and with a guaranteed, if disinterested, clientele.

If, on the other hand, something like the teaching library proposal is implemented for both preservice and in-service training, the one year MLS is retained and strengthened thereby, and continuing education courses of whatever sort are allowed to stand or fall on their merits and without the crutch of compulsion, then the result should be salutary for both libraries and librarians.

Continuing education for librarians as presently conceived is not an adequate means for dealing with the problem it purports to address; what is adequate, namely a system of rewards and sanctions based on quality of performance or lack thereof, is doubtless a frightening prospect for many librarians and library administrators alike. That fact notwithstanding, neither a longer period of preservice training nor compulsory continuing education is any substitute for energy, creativity and hard-work on the part of interested, motivated librarians who are required to keep up with a rapidly changing field but free to choose from a wide variety of competing alternatives for doing so.

Continuing education as presently structured with neat and tidy units of quantification (CEU's) and clearly defined milestones is an easy but superficial and cosmetic method of dealing with the troublesome triad of professional identity, professional education, and professional development and competence; albeit one that doubtless appeals to the same desire for order, structure, and certainty that attracts many people to librarianship in the first place. In the words of Jesse Shera commenting on continuing professional education for librarians

> . . . ambition has outrun realization, and too much has been expected of too little; we have been unwilling to make the personal sacrifices that such education demands, and the resulting programs have been more celebration than education. Education is not achieved over a weekend in the convivial atmosphere of a conference.[29]

Shera's words will surely ring ever more true as we move into the increasingly complex technological environment of the future.

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LIBRARY SERVICES NEEDS OF GRADUATE STUDENTS TAKING TECHNICAL COURSES VIA AN INTERACTIVE TV NETWORK

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Abstract. Findings of a faculty-student survey substantiated the need for library services to graduate students taking business, computer science, and engineering courses via television. Results indicate extended campus library services are important even for these disciplines where library use is typically thought to be low. Information concerning course assignments, preferred services, and libraries used by students was helpful in identifying what services were needed. Well planned library services are needed by nontraditional students who have limited time available to access library resources.

Keywords and Phrases. Educational Television, Extended Campus Library Services, Graduate Students, Interactive TV Networks, Library Extension, Library Surveys, Nontraditional Students.

INTRODUCTION

In recent years there has been a substantial increase in the number of nontraditional students in higher education. Many of these students hold full-time jobs and take courses part-time in professionally oriented disciplines such as business, computer science, and engineering. These disciplines tend to be correlated with low library use. Indications are that the trend toward more part-time students in professional disciplines will continue.[1] Extended campus programs designed to meet the needs of these nontraditional students are common.

Unfortunately, many universities have launched extended campus programs with little consideration given to support systems necessary to insure that students receive an education comparable to that provided to traditional students. One area often neglected is provision of library services. The "Guidelines for Extended Campus Library Services" of the Association of College and Research Libraries includes the following relevant assumptions:

> "1) The academic library is primarily responsible for identifying, developing, and providing resources and services which address the information needs of students and faculty in extended campus programs.
>
> 2) The library's parent institution is responsible for providing support which addresses the information needs of its extended campus programs."[2]

If a university chooses to offer extended campus programs, it has an obligation to provide the services necessary to support the programs. In practice, assumptions about nontraditional students and their disciplines sometimes serve as excuses for not providing library services.

A survey conducted in Spring 1983 to determine library and information resources needs of students taking courses from the Illinois Institute of Technology (IIT) via their interactive television network (IIT/V) indicates that these assumptions are not always correct. The study did not attempt to test a formal hypothesis concerning library needs for IIT/V courses. It was exploratory in nature attempting to determine if needs existed and if so, what those needs were. However, comments made by librarians and others while discussing plans for the survey often reflected a belief that business courses would have greater library service needs than computer science and engineering courses. The survey results do not support significant differences among these disciplines for the courses taught via IIT/V.

EXTENDED CAMPUS LIBRARY SERVICES AT OTHER INSTITUTIONS

There is very little published literature on library programs serving TV students. California State University, Chico was the only library identified which has developed a significant program. In an attempt to identify library programs serving technically oriented TV courses, the list of universities belonging to the Association for Media-Based Continuing Education for Engineers (AMCEE) was compared to the "Directory of Extension Library Services Personnel" compiled by the Standards and Accreditation Committee, Association of College and Research Libraries (February 1981). Letters were written to five extension librarians identified at AMCEE institutions. The two responding indicated they do not have programs serving TV students.

Contact with personnel at California State University, Chico (CSU, Chico)[3] and National College of Education, Evanston (NCE)[4] provided information about programs serving students at scattered remote sites. Despite several differences including the discipline and nature of courses offered, aspects of both NCE's and CSU, Chico's programs are applicable to IIT's situation. The interviews were particularly helpful in providing an understanding of the importance of working closely with faculty, TV personnel (in the case of

CSU, Chico), and other libraries in developing programs.

THE SURVEY: METHODOLOGY AND FINDINGS

Students at the Illinois Institute of Technology (IIT) taking courses via IIT/V reflect the trend toward part-time students in professional fields. At the time of the survey, courses were offered on four television channels via IIT/V which has been operational since 1976. Courses are broadcast live from campus classrooms specially equipped for that purpose. Students at remote sites have access to telephones enabling them to participate in discussion and ask questions. The bulk of courses offered in Spring 1983 were graduate level courses in business administration, computer science, and electrical engineering. Most coursework toward a master's degree in these three disciplines can be completed via IIT/V. In the Fall 1983 semester, master's degree programs in chemical engineering and mechanical engineering were added and there are now three additional channels for transmission.

During the Spring 1983 semester 62 courses were offered via IIT/V with a total IIT/V enrollment of approximately 675 representing 530 students taking courses at 20 remote sites located within a 40 mile radius. Most sites are at private corporations. Although IIT/V students had full library privileges on the IIT campus, there were no provisions for library service from IIT at the course sites.

Questionnaires distributed to IIT/V faculty and students provided data useful in developing recommendations concerning library services for IIT/V courses. The faculty questionnaire was designed to answer several questions including whether faculty change library requirements in their courses when teaching via IIT/V; whether they consider library assignments appropriate in any of their courses and if so, what kind (e.g. required readings, research papers, take home exams); and what services they consider important for students in their courses. Sixty-one of 68 persons identified as IIT/V faculty responded to the survey for a 90% response rate. As indicated in Table 1, the response rate was good across disciplines and by both full-time and part-time faculty.

The student questionnaire was designed to obtain information concerning types of assignments in courses, and services which would have been beneficial for their Spring 1983 IIT/V courses. In addition, there were questions on employment, city of residence, course site, and libraries used for course preparation during the term. Survey forms were individually addressed and sent via the IIT/V courier to 530 students at 20 sites. Instructors of IIT/V courses were sent a memo requesting that they remind students to return the survey. The number of instructors who reminded their students is unknown. One hundred twenty forms were returned for a 23% response rate. This response rate was lower than desired but higher than expected by IIT/V personnel. Persons who are interested in the subject of a survey are more apt to respond than others. Low response rates can result in a systematic bias.[5] Therefore the percentage of respondents who indicated a need for library services may be higher than for the total student population.

The 61 faculty responding reported teaching 89 different courses on IIT/V from September 1981 through May 1983. Table 2 is a summary by discipline indicating the number of courses that may have assignments requiring library usage. Some courses were reported by more than one faculty member. Occasionally the faculty did not agree as to whether assignments were appropriate for the course. If at least one faculty member

TABLE 1

IIT/V FACULTY RESPONSE RATES BY DISCIPLINE INDICATING FULL-TIME OR PART-TIME STATUS

Discipline	Full-Time	%	Part-Time	%	Total Persons	%
Business	13 of 15	87%	7 of 7	100%	20 of 22	91%
Computer Science	11 of 12	92%	7 of 7	100%	18 of 19	95%
Engineering	14 of 17	82%	5 of 5	100%	19 of 22	86%
Other	4 of 5	80%			4 of 5	80%
Totals	42 of 49	86%	19 of 19	100%	61 of 68	90%

TABLE 2

REPORTED IIT/V COURSES TAUGHT SEPTEMBER 1981 - MAY 1983

INDICATING APPROPRIATENESS OF LIBRARY ASSIGNMENTS

Discipline	Courses Taught	Library Assignments Appropriate	%
Business	22	10	45%
Computer Science	24	10	42%
Engineering	38	13	34%
Other	5	1	20%
Totals	89	34	38%

TABLE 3

PERCENTAGE OF FACULTY RESPONDENTS REPORTING AT LEAST

ONE COURSE FOR WHICH LIBRARY USAGE IS APPROPRIATE

Discipline	IIT/V Faculty Respondents	Reported Course: Library Usage Appropriate	%
Business	20	11	55%
Computer Science	18	9	50%
Engineering	19	8	42%
Other	4	1	25%
Totals	61	29	48%

indicated a need for library assignments it was counted. Forty-eight percent of the faculty responded that at least one of their courses was appropriate for library assignments (Table 3). A total of nine IIT/V faculty or 15% answered that there was a difference in library usage required in their courses when taught via IIT/V as opposed to when taught exclusively on campus. Their answers relect the use of fewer library assignments, and the recognition of inaccessibility of library services to students. In addition, some faculty lend their own materials to students.

Tables 2 and 3 indicate that library assignments are believed appropriate for a higher percentage of business courses. Also, a higher percentage of business faculty do teach courses with library assignments. However, the application of the chi-square test to the responses of the three major disciplines involved shows no significant relationship between discipline and whether library assignments are appropriate for a course (Table 2). The resulting χ^2 =0.8 is less than the 5.991 value required with two degrees of freedom to show significance at the 0.05 level. Similarly, the chi-square test applied to discipline and whether a faculty member reported at least one course appropriate for library assignments (Table 3) shows no significance at the 0.05 level with χ^2 =0.41.

Table 4 shows the percentages of students requiring use of library materials or services in at least one course during the Spring 1983

TABLE 4

IIT/V STUDENT RESPONDENTS NEEDING

LIBRARY MATERIALS OR SERVICES SPRING 1983

Discipline	Student Respondents	Needed Library	%
Business	22	9	41%
Computer Science	66	36	55%
Engineering	32	12	38%
Other	1	0	0%
	—	—	
Totals	121	57	47%

term. Dropping the "Other" category and applying the chi-square test to the IIT/V student responses in business, computer science, and engineering results in a chi-square value of 2.97 showing no significant relationship at the 0.05 level between discipline and library need.

FIGURE 1

LIBRARY ASSIGNMENTS IN IIT/V COURSES

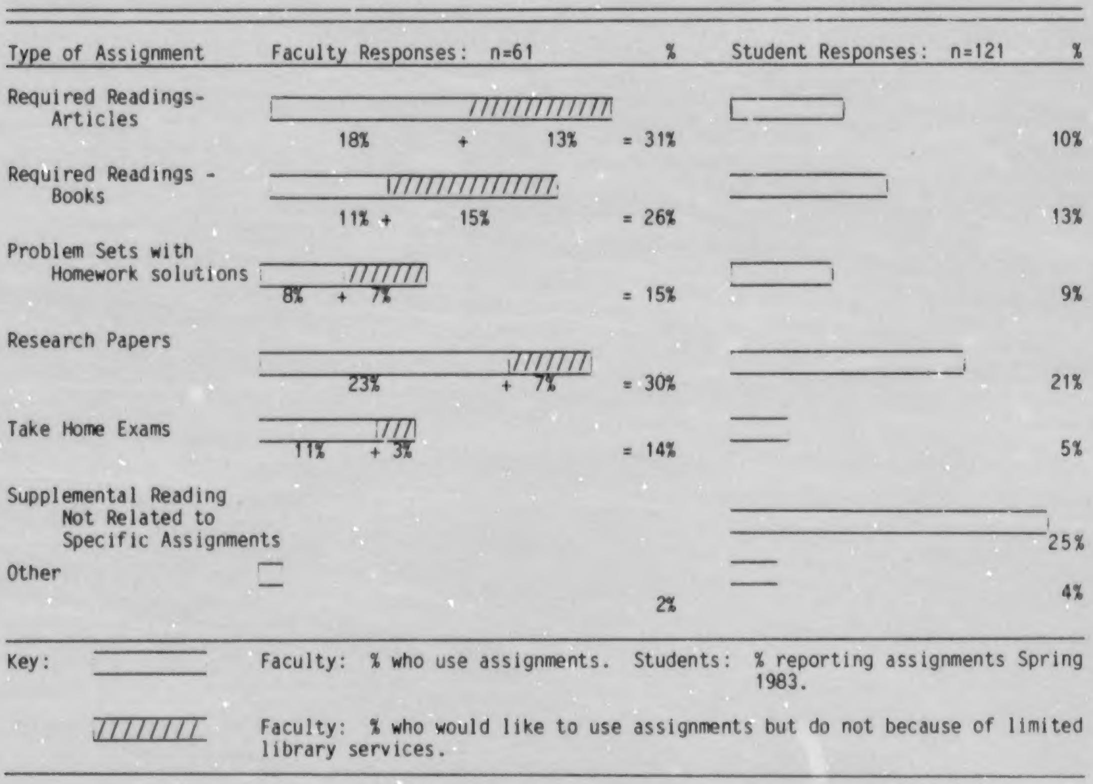

Figure 1 indicates the percentages of faculty who use or would like to use library assignments and students who reported assignments. Faculty and student responses can not be directly compared since student responses reflect needs during the Spring 1983 semester only and faculty responses reflect needs in courses over a two-year period. In addition, faculty responses include courses where assignments are appropriate but not currently made because of limitations in availability of library resources. Student responses reflect needs experienced as courses are currently taught. Undoubtedly the need would be greater if faculty used library assignments in all cases where they believe them to be appropriate.

There appears to be some relationship between discipline and type of need. This was most obvious in Spring 1983 for research papers which were required for 17 of 64 (27%) computer science students, eight of 22 (36%) business students, and zero of 33 (0%) engineering students. The application of the chi-square test to student responses concerning assigned research papers indicates a significant relationship to discipline at the 0.05 level with a chi-square value of 12.1. However, when planning off-campus library services aggregate findings are much more relevant than detailed analysis by discipline. For instance, the fact that 11 IIT/V faculty assign required readings (articles) in at least one of their courses, eight more would like to, and 12 students reported reading assignments for the Spring 1983 term supports the need to provide a reserve system. It is difficult to determine exactly how students now get these materials but it appears to be a combination of coming to campus (two of the 12 reported trips to campus), faculty copying articles (one reported the faculty member had provided articles), and use of corporate libraries (three complained of long waits for materials inferring they had to be ordered from other libraries). The reserve system could also be used for required readings in books and the homework solutions of problem sets.

Twenty-five percent of the students reported doing supplemental reading for their Spring 1983 course(s) which was not related to specific assignments. In addition, comments by several faculty who did not give specific library assignments stressed the importance of having basic materials available to the students.

Students were given a list of 11 potential library services and asked to leave unchecked those which would have been of little or no benefit for their course(s) this term, to single check those which probably would have been beneficial, and to double check those which definitely would have been beneficial. Faculty were asked to respond similarly to services in relation to the needs of students in their courses. Responses are reported in Table 5.

With the exception of circulation privileges the faculty and student rankings for services were similar. Materials explaining library services, daily delivery of materials to course sites, and reserves at course sites were among the top four services selected by both groups. Dial-up access to the library catalog was ranked third by students and fifth by faculty. Circulation privileges was ranked first by faculty but only eighth by the students. This service should have been listed as "Circulation privileges from IIT Libraries" rather than "at IIT Libraries." As stated it was probably interpreted to mean only circulation in person at IIT. IIT/V students are more interested in services at the course site than on campus.

Questions concerning employment, city of residence, course site, and libraries used for course preparation were asked to assist in identifying libraries with which IIT might develop cooperative arrangements. The 121 students responding live in 55 different cities, 95% are employed full-time and all but those at two course sites are employed at the site where they take courses. Only ten (8%) of the 121 IIT/V students reported using at least one of IIT's libraries during the Spring 1983 term. This is not surprising since most IIT/V course sites are 15 to 35 miles from the IIT Libraries. Survey findings do not clearly identify libraries for establishing formal cooperative arrangements to serve extended campus students other than those at course sites. Students reported use of 12 public and nine academic (other than IIT) libraries for their course preparation Spring 1983 but none was used by more than three students.

Forty-five (37%) of the 121 IIT/V student respondents indicated they had used a corporate library during the Spring 1983 term. In most cases this was the library at their place of employment and at the site where they took courses. Many IIT/V students rely heavily upon their corporate libraries and did not need IIT library facilities. Several students made very positive comments about their corporate libraries. However, approximately a dozen students who had used their corporate libraries indicated various types of inadequacies including lack of materials, excessive time to get items from other libraries, and waiting lists for needed

TABLE 5

POTENTIAL IIT LIBRARY SERVICES SELECTED AS BENEFICIAL

Service	✓	✓✓	Total Persons Checking ✓ or ✓✓		Weighted Score (✓= 1, ✓✓ =2)
IIT/V Student Responses: n=121					
Brochure explaining services	47	35	82	(68%)	117
Monday - Friday delivery	35	38	73	(60%)	111
Dial-up access	49	24	73	(60%)	97
Reserves at course site	31	30	61	(50%)	91
Electronic document delivery	31	18	49	(40%)	67
Collection at site	20	18	38	(31%)	56
Online searching	29	9	38	(31%)	47
Circulation privileges	22	10	32	(26%)	42
Instruction	20	7	27	(22%)	34
Telephone reference	21	6	27	(22%)	33
Indexes (Print)	22	4	26	(21%)	30
Other	0	1	1	(01%)	2
IIT/V Faculty Responses: n=61					
Circulation privileges	16	9	25	(41%)	34
Brochure explaining services	11	9	20	(33%)	29
Reserves at course site	15	6	21	(34%)	27
Monday - Friday delivery	13	7	19	(31%)	26
Dial-up access	12	3	15	(25%)	18
Electronic document delivery	11	2	13	(21%)	15
Collection at site	11	1	12	(20%)	13
Online searching	7	3	10	(16%)	13
Telephone reference	8	1	9	(15%)	10
Indexes (Print)	9	0	9	(15%)	9
Instruction	7	1	8	(13%)	9
Other	0	1	1	(02%)	2

materials. Since many students already use their corporate libraries, it is logical for the IIT Libraries to work with these libraries in providing improved services for IIT/V students.

Forty-seven (39%) of 121 students and 19 (31%) of 61 faculty offered comments about library services. Students' comments related primarily to libraries used (citing both positive and negative experiences), problems of time and distance, and the need for services at course sites. Faculty comments reflected concern with library services on campus as well as recommendations related specifically to off-campus needs.

CONCLUSIONS AND IMPLICATIONS

The need for extended campus library services for IIT/V students is substantiated by the survey. Findings including information about course assignments, preferred services, and libraries used by students will be helpful in planning those services. In addition, the high faculty response rate increases the value of the faculty survey forms as a means of identifying IIT/V faculty who use or would like to use library assignments, desire library instruction for their IIT/V students, or have other specific library related needs.

Recommendations based on the survey findings include institution of Monday through Friday delivery of library materials to course sites, establishment of a reserve system to serve course sites, identification and addition of library materials in the general collection to better serve IIT/V students, and development of informational materials for students and faculty listing appropriate library telephone numbers and describing services including library privileges at IIT, how to address IIT's LCS via a dial-up terminal, telephone reference service, and access to materials at other libraries with which IIT has cooperative arrangements. Serious consideration should also be given to providing online literature searching services and development of instructional programs and materials.

As noted earlier many of the faculty comments expressed concern with on campus services. The IIT Libraries are currently in a state of transition following the termination of IIT's contract with the John Crerar Library. There is need for expansion in several areas including collection development, bibliographic instruction, and reference services. These needs are important but do not limit responsibility for providing library services for off-campus students. In some instances services developed for off-campus students can benefit on campus students as well.[3] Bibliographic instruction is one area where this could be true at IIT.

Some general observations concerning the survey have broader applicability and implications for planning extended campus library services at other institutions. These observations include the following:

1) Assumptions about the demands for library services based on discipline can be misleading. Although professionally oriented courses typically have less demand for library resources than courses in humanities and social sciences curricula, this survey indicates that these courses should not be automatically discounted when planning library services. Both faculty and student responses reflect that a significant number of business, computer science, and engineering courses offered via IIT/V require library resources.

2) Faculty may not always be aware of the availability of materials to their students. For instance, several faculty indicated that IIT/V student library needs were being met by corporate libraries. This was true for some students but many either did not find their corporate libraries adequate or did not have access to a corporate library.

3) Although pressed for time, at least some nontraditional students have a keen interest in obtaining library materials related to their courses. Twenty-five percent of IIT/V student respondents reported the use of "Supplemental reading not related to specific assignments." Need for general background information may be even greater among nontraditional students than among traditional full-time students. Breaks from educational experience may create a demand for review material. In addition, the career orientation of many courses may create demands for additional information on topics directly related to a student's work. Rather than minimizing the need for library services, student comments reflecting concern with time and distance problems reinforce the need for carefully planned services to nontraditional students.

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CONFLICTING PERCEPTIONS OF THE ACADEMIC LIBRARY

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Abstract. Communication between teaching faculty, students, and public services librarians is sometimes difficult because each has a different perception of the library. The faculty member views the library by its collections, the student by its facilities, and the librarian by its services. Librarians' efforts to indoctrinate users to the value of library services has been unceasing, and to some extent unavailing. The author recommends that librarians devote some of their energy to changing the library to fit the users' perceptions.

Keywords and Phrases. Faculty perceptions of libraries. Student perceptions of libraries. Public services. Library complexities (self-made). Goals of library users.

SCENES FROM A LIBRARY:

Scene 1
Faculty Member: I understand that you're remodeling the library.
Librarian: Yes, we're moving all the public services to the main floor.
Faculty member: Public services, what's that?

Scene 2
Librarian: Every library in the country has a Readers' Guide.
Student: Yes, and a librarian who wants to explain how to use it.

Scene 3:
Student delegation: We want to know why the library is not open 24 hours a day.
Librarian: We think it's more important to have our staff available during the day to provide library services.
Student Delegation (Looking puzzled): Library services? Like what?

These conversations, which I held with people relatively familiar witn the library made it clear to me that librarians' perceptions of the library and those of our users are very different. It takes many people to run a library, most of them invisible to the public. Acquisitions and cataloging units are unknown and unsung. In public services stack maintenance, exit control, and circulation services are taken for granted. However, services like reference and bibliographic instruction are widely publicized and make an active effort to be visible.

The faculty member with whom I spoke had been using our library for over 30 years, I was surprised to think that he had never found an occasion to use library services, or had never recognized that he was doing so. The conversation concerning the Readers' Guide was with a young member of my family, who could afford to be frank with me about students' indifference to most library instruction. The third scene, dealing with a delegation of students, showed a lack of communication on both sides. After analyzing the problem, I realized that the students saw the library as a place to study and were only vaguely aware of any other purpose.

Judging from these three sample dialogues, one can hypothesize that the three groups most concerned with the library appear to view it in three very different ways. The faculty member defines a library by its collections, the student by its facilities, and the librarian by its services. Looking at library user studies from these three different perspectives may provide insight that will be useful for future directions of public services.

FACULTY PERCEPTIONS OF LIBRARIES

Without an appropriate collection the interest and support of the teaching faculty would not exist. A study by Rzasa and Moriarty verified that the major reasons for faculty use of a library are to "research for a publishable paper, read library material for self-improvement, or find and read material required for a course." [1]

Because of the complexities involved with effective use of libraries, faculty often find alternatives. Baker's application of the reward/cost theory to library use suggests that the potential user will select the alternative with the least cost and the highest reward. A faculty member with a need for a specific book or article will:
(1) Scan his own collection, and if the material is not available there,
(2) Consult with a nearby colleague for availability. If not available there,
(3) Try the university library. Depending on previous experiences with the library, another alternative that may be selected is to
(4) Do without the item. This may be the alternative when the need is not strong, or the likelihood of its availability in the library is perceived as low.[2]

When the faculty member does go to the library, studies show that he is unlikely to go to a librarian for assistance. A study on information needs of historians by Steig listed ten sources historians used to discover relevant published information. Consulting a librarian came in last.[3] Similar results were obtained in Stenstrom and McBride's study on serial use by social science faculty. In only 2.4% of the cases was a librarian consulted when a faculty member could not locate a specific article.[4]

Faculty at six colleges were tested on their awareness of library reference service in a study by Nelson. Results showed that those who responded to the questionnaire were aware of only 50 percent of the reference services available to them. The study further indicated that there was a low level of faculty confidence in the competence of librarians.[5]

A faculty attitude toward libraries and librarians was noted by Runyan, who wrote that "the librarian is not infrequently viewed by professors as a creativity limiter, a regulation generator, sitting between the expert and the books . . ."[6]

FACULTY RELATIONSHIP TO STUDENT ATTITUDES

Whitlach's study of library use patterns among faculty and students included a survey of needed improvements in the library. Faculty's top choices were ordering new books, security of materials, periodical subscriptions, and shelving. The students' priorities were somewhat different, showing more concern for facilities. Students' top four were reorganizing the library, written library guides, ordering new books, and shelving.[7]

Library literature supports the idea that student use of the library is dependent on faculty attitudes, and on specific assignments requiring library use.[8] However, Hardesty has observed that many classroom instructors feel that formal instruction in the use of the academic library is not really needed.[9] In his guide to college teaching, Udolf refers to requiring constant trips to the library as an "aversive task", and continues that "the problem with library references is that they tend to consume an undue amount of the student's time."[10]

STUDENT PERCEPTIONS OF LIBRARIES

Interview data summarizing the study habits of several thousand college students on 23 campuses found that only 23% preferred the library for study space. Of those who did study in a library, fewer than 10% were using the library because of materials there. Other reasons were: quiet, few distractions, good atmosphere, convenience, privacy, comfort, ability to concentrate, ability to study with friends, and habit.[11]

There are innumerable studies sampling student library usage that demonstrates low use. Data collected by Barkey at Eastern Illinois University show that 63% of the student body borrowed no books during the 30 day period of the study.[12] Lane's study at the University of Delaware found that fewer than 30 percent of the total number of students in any school were using the library facilities.[13] Rzasa and Moriarty's study of Purdue University Libraries found 50% of students in the library using only their own material.[14] Lubans found that 15% of the freshmen were non-users and 51% said they had used the library "a few times", which was speculated to be a polite way of saying they had not used the library. By the time the students became seniors there were 1.8% who had never used the library and 37.9% who had used it "a few times."[15]

Empirical evidence of students' perception of a library principally as a place to study may be found in students' direct communication with the library by means of a suggestion box. My own tabulation of the communications in our suggestion box at Purdue University's General Library revealed that 66% concerned physical facilities, 18% the collection, and 16% library services.

My experience with a student delegation requesting longer library hours seems to have been similar to that at UCLA. A report of the Task Force on Library Services stated that:

> "Undergraduate student government leaders continue to demand 24 hour library service. When questioned regarding the need for longer library hours, the student government representatives said that the order of need was first for study space, second for reserves, and third for the use of library materials."[16]

LIBRARIAN RESPONSE TO USER NEEDS

Despite the studies documenting faculty indifference and student obliviousness, both groups do use the library, sometimes with startling ineptitude. This has not escaped the notice of the public services librarian, who must respond to daily evidence of library illiteracy either with energy or with despair.

The librarians' answer to the problem of users' perceptions conflicting with their own has been to attempt to educate the user. This can have the effect of adding another layer of complexity. Interposing library services between the user and the materials he needs, if the services are not relevant or useful, tend to make the library seem more complex. Explaining how to use the Readers' Guide to a student who has been exposed to the information more than once in grade school and high school and is now concerned with learning computer programming will strike the student as inane. When our response to lack of student interest is to devise more "entertaining" or more complicated explanations, it may serve only to make the obvious seem unclear.

Explaining the filing rules in the card catalog is an example of instructional overkill. Librarians have carefully explained details of filing such as the difference between filing word by word or letter by letter, the significance of the dates after the author's name and their usefulness if there were two authors by the same name, and the advantages filing chronologically instead of alphabetically in the history sections of the catalog. Exposure to these rules probably made little difference to the students, who tuned out, thumbed through a few extra cards when using the catalog, and found the desired title despite us.

The catalog is but one example of library complexity. Locating a periodical in an average library can put the user into a maze, with the possibility of 24 different decision points before successful or unsuccessful termination of the search.[17] Shelving arrangements, floor plans, and loan procedures can become unnecessarily complicated. These architectural and procedural problems may be obvious to the user, but they seem to be invisible to those who created them and deal with them daily.

The belief by librarians that there is a great need for them to explain these often self-made complexities is not shared by faculty and students. Incompatible perceptions of librarians, faculty, and students regarding the need for library orientation and instruction were confirmed in two separate studies by Whitworth [18]and Stueart.[19] Teaching every student to become a competent library user is impossible if neither the student nor the faculty member believes it is necessary. Librarians spend considerable energy creating instruction programs and then find that even more energy is required to persuade people to use them.

CONFLICTING PERCEPTIONS/UNREACHABLE GOALS

Librarians know that faculty depend heavily on library collections for their research and teaching, but they are relatively invisible in their use of services designed to make library use easier: bibliographic instruction, reference services, and use of the reference collection. The percentage of students who use the library is low. Most librarians agree that students will use library materials only if required, consequently student use of libraries is directly related to faculty perceptions of the library's relevance and usefulness to their teaching needs.

Public service librarians have responded to these problems with energy, believing that the more assistance given, the more services available, and the more publicity given to these services, the more the library will be used. A study by Kernaghan challenged these assumptions, bringing out a difference in perceptions of the effectiveness of library services between librarians and students.[20]

The conflicting perceptions of the library are accompanied by unreachable goals. The faculty member, whose perception of the library is influenced almost entirely by its collection, has as a goal to do research in a manner that is uncomplicated by library rules, eccentricities of arrangement, and collection deficiencies. The student, who defines the library by its physical aspects, has two goals: finding a study space that fits his needs, and managing to do the required research in the least amount of time.

The public services librarian has a more complex goal. I believe we can assume that the librarian is altruistic, and wants the student and the faculty member to satisfy his or her goals. At the same time, however, the librarian knows that these goals are difficult to meet within the complexity of a large university library. Therefore, the librarian's solution is to become an interface between the user and the library, devising various means of improving access to the collection.

Applying utility theory, Robert Burr has theorized that "libraries, whether they realize it or not, act in such a way as to maximize their own satisfaction."[21] The librarian's real goal, consciously or not, is to make his or her job more useful and interesting. Is the catalog difficult to use? Then I'll explain it. If explaining it on a one-to-one basis seems to be getting nowhere, then I'll find a way to explain it in a classroom to 30 people at once. When classroom instruction doesn't reach the needed audience, mass instruction or point-of-use instruction is employed.

An overview of the constant efforts of public services librarians to educate library users shows little or no change in the overall level of user skills or in attitudes toward libraries. Hardesty's study of student use of libraries concluded that "students appear to be using ... the library today to the same degree they did more than forty years ago (which indicates that) librarians have been largely unsuccessful in influencing classroom instructors."[22] His conclusion, and the conclusion of most of the studies cited, is that librarians need to become more active in promoting library instruction and other library services.

CONCLUSION

The studies cited document years of failure to alter the attitudes of a constantly changing population, in an environment of ever increasing complexity, within a climate of diminishing resources. This is an overview that may discourage even the most dedicated, innovative and energetic public services librarian. As a participant in that struggle for many years, I have begun to accept a different approach to the problem.

Instead of constant and unavailing efforts to change our faculty and student perceptions of libraries, could we not try to make the libraries fit their perceptions a little more closely? For example, if the catalog is difficult to use, all the energy being used to explain it might instead be used to make its contents more accessible.

There is no excuse for an unreasonable library arrangement if the public service staff expends too much effort explaining its peculiarities. There is no reason for having periodicals located throughout the building when the users reasonably assume that they are all together. Although not every library information problem can be solved by a physical or procedural change, there are many that can. By trying to perceive the library as a faculty member or student does, librarians may find logical solutions to long-standing problems.

Public service librarians are acting in such a way as to maximize their own satisfaction. In their one-to-one interface with the public, they want to see instant results, over which they have some control. Therefore they may devise bewildering arrangements and complicated procedures that may solve an immediate problem, but create others of long lasting and detrimental impact.

It is more difficult for librarians to work through the library system and improve barriers to library service over which they have little immediate control. Improvements such as better traffic patterns, more logical arrangement, more usable catalogs and cataloging systems may take a long time to implement.

An understanding of faculty and student needs, perceptions, and goals is important in improving access to libraries. An understanding of ourselves is vital.

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MANAGING IN A UNIVERSITY MILIEU

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Abstract. As academic librarians deal with increasingly complex issues, they must understand their environment well if they are to be effective in collaborating with actors outside the library. Academic librarians have given much attention to professional development activities to improve supervision, communication, and other management skills. To supplement those programs, a year-long and apparently unique Stanford University Libraries Management Development Program was initiated in 1982 to enhance managerial capacities of staff by increasing awareness of the immediate, extra-library environment. The Program provided twenty managers an opportunity to gain insight into the University through lectures, discussions, and case studies presented by key administrators and faculty.

In the autumn of 1982 the Stanford University Libraries inaugurated a new staff development activity, the Stanford University Libraries Management Development Program. The Program, planned and carried out by the Libraries, was designed to give staff participants a better understanding of the University environment as the context in which the Libraries operate. It was to go beyond the basic orientation given to all staff and to complement skills training programs offered to managers and supervisors.

We believe this program may be unique. Respondents to a survey sent last summer to forty large academic libraries cited active programs in supervisory and management training. None reported a library-sponsored program of institution-specific training such as the one developed at Stanford.

At Stanford both the Libraries and the University have active and well-supported staff development programs. Courses and workshops directly related to enhancing skills used in the work place are offered for all levels of staff. These include supervisory training, interviewing techniques, conducting meetings, managing conflict, and handling stress. Why then was there a need to develop an additional program at Stanford?

As academic librarians are being called upon to deal with increasingly complex issues and as they strive to maintain services in times of economic constraint, it becomes more and more essential that they understand their environment and its prevailing values and priorities. They can thereby better comprehend the motivations of key individuals outside the libraries and be more effective in their interactions with them for their benefit and for that of the Libraries. Establishing a program that would address this need was one recommendation that grew out of a two-year long Library Program and Process Study. That study specifically focused on management and decision-making processes, and sought ways to make those processes more open and effective, and staff better informed and able to contribute.

Stanford University perceives itself as an institution with a unique culture and management style that determine how decisions are made, priorities established, and programs implemented. Because that style rests on consensus, a common set of values and expectations is critical. The effectiveness of people with excellent skills can be enhanced by a better understanding of the University. The University, recognizing that effective managers must understand this style and culture, established a University-sponsored Management Development Program in 1979. The University MDP, which offers three-hour weekly sessions for eight months to twenty middle managers, served as a model for the Libraries program.

In early summer of 1982, a four-person, joint University/Libraries planning committee was established to organize and implement a management development program for the Libraries. This committee was composed of the Vice Provost for Management and Director of University Budgets, Ray Bacchetti, the Associate Provost, L. Wayne Price (both of whom have served on a steering committee for the University's program), Joan Krasner, then the Libraries' Staff Development Officer, and Carol Turner, Chief of the Government Documents Department and a participant in the 1981-82 University program. During the summer this committee developed a statement of objectives for the program, participant selection criteria, curriculum, and a statement of funding needs.

The planners faced a major challenge in determining what the program should strive to accomplish and how. What should be the program's focus? Should it be designed primarily to help library staff better understand the University? Should it provide background in management theory? Should skills training be a part of it? How library-specific should the program be? To whom should the program be aimed? Should the program be an organizational development activity for directors and department chiefs who must work together in administering the library and who would benefit by both a common level of knowledge and by the experience of learning together? Or should the participants come from all areas and all levels of the organization? And if so, how should they be selected?

These questions and many others were pondered by the planners as they worked to define the program. After much discussion among themselves and with a variety of people in the Libraries and the University, a program outline was developed.

The objective of the program was stated thus: "to provide its participants with an opportunity to learn more about the management and operations of Stanford University, to gain greater insight into the role of the Libraries in this complex institution, and to strengthen their awareness of their role as managers."

The program would be structured around a day-long retreat in October followed by one morning-long session each month of the academic year. The sessions would deal primarily with aspects of University administration, but a few sessions would focus on management roles and skills. Each session would be led by one or more key University managers, faculty, and/or library staff.

Participation would be open to all library staff, in line or staff positions, who have substantial influence on operations or significant supervisory responsibilities. It was expected that all participants would relay to their colleagues the insights gained from this experience. To allow for discussion and interaction with speakers, the total number of participants would be limited to twenty.

Persons interested in participating would submit an application form stating both what they hoped to gain from the program and what they would contribute to it. The applicant's supervisor would review the application and add an assessment of the benefits of participation that should accrue to the applicant and to the organization. All applications would be submitted to an advisory selection board consisting of the two library program planners, the Assistant Library Personnel Officer, the President and Vice President of the Staff Association, and a branch library staff member. The board's recommendations on participants would go to the Library Directors for final review.

The Program, as outlined, was approved by Library administration. The enthusiasm with which the program was received was evident in the funding made available. Financial support was forthcoming both from the Libraries endowed fund for innovation and from an additional University allotment to the Libraries staff development budget. Total program costs approximated $1,000.

The Program was announced in the Library Bulletin, and application forms sent to all library units. Completed applications were received from twenty-six persons ranging from a Library Specialist I with no supervisory responsibilities to the Director of Libraries. While there were not as many applicants as we thought there might be, we were pleased by the very positive expectations of the applicants and by the variety of persons who applied. In selecting participants the following criteria were used: 1) the merit of the application; 2) the supporting statement of the supervisor; and 3) achieving a balance in the group so that it had participants from many library units with various kinds and levels of responsibility.

An interesting issue was the participation of the Director of Libraries. It was agreed that his knowledge and expertise would enable him to make unique contributions to the program discussions and that his commitment to the program, evidenced in no better way than by his own participation, was critical to its success. Given these very positive elements, we, the planners, knew that we must work against what we saw as potential negatives: 1) that some staff might feel intimidated by the presence of the Director; and 2) that the Director must be an active participant who shares his knowledge with the group and does not move into an alternate role as chair, planner, or observer. Fortunately, none of the potential negatives developed. The Director was an active participant whose presence enhanced the program.

In addition to the Director the group included one Associate Director, two Department Chiefs, two Assistant Department Chiefs, six office or unit heads, and eight with various other responsibilities. All activities and most Departments were represented. Seventy percent were exempt staff, thirty percent nonexempt, seventy-five percent were from the Green Library building, twenty-five percent from outlying locations. Participating were both staff new to the Libraries and those who had been on the staff for many years.

The Program began with a day-long retreat at an off-campus, Stanford-owned estate. The intent was to allow participants to get acquainted or reacquainted in an informal atmosphere, to provide a foundation of basic knowledge for the year's sessions, and to establish a climate characterized by learning, sharing, and participation. The day's agenda began with a videotape illustrating major elements in the Stanford culture prepared by the 1981-82 University Management Development Program class. The retreat continued with discussions of management and policy-making in the University led by key University administrators. The day concluded with a slide presentation on Stanford history by the University Archivist and a discussion of the group's profile and its program-related objectives. Since the retreat was held off-campus and breaks and lunch were catered, it was possible for participants to leave behind normal responsibilities and focus on the day's activities. The combination of lecture, discussion in large groups, and discussion/problem analysis/reporting in small groups allowed all to participate.

The monthly program sessions that followed built on the retreat's foundation and covered these topics:

1. History and Governance of Stanford
2. The Stanford Culture: Its Impact on Planning and Managing
3. The University Faculty
4. The Stanford Student
5. Human Resources Management
6. Problem-Solving and Decision-Making
7. Budgeting, Financial Planning, and the Economics of Higher Education
8. Career Planning and Self-Assessment

Presenters for the sessions included the Provost, the Vice President for Business and Finance, the Deans of Admissions and Undergraduate Affairs, and several faculty members and other University administrators. Each presenter was responsible for assigning reading material, cases to be analyzed, and other background work for his or her session. The sessions varied considerably in format. Some were lectures followed by a question period while others were highly interactive. Some involved one or two speakers, while others were presented by panels. In addition to the monthly sessions, participants were given the opportunity to observe meetings of the University's Academic Senate and the Academic Council Committee on Libraries, two groups that are very important in library and University affairs and that are not generally open to staff.

The 1982-83 program was an experimental effort to offer a staff development activity that had not been offered previously in the Libraries. Not only was the focus quite different from the skills-oriented programs offered in the Libraries, but the structure of a year-long series of sessions for a continuing group of people was also new. Because of these factors and also because this was the first spin-off from the University program, we built in an evaluation process from the beginning.

We developed a standard evaluation form that we intended to use throughout the program so that we could compare reactions to different sessions. Our participants soon tired of the form, and we realized that asking questions geared to each session was more useful. In fact, we found it better to develop the questions after the session so that questions could address what actually happened rather than what was planned. In addition to these written evaluations, we conducted two oral evaluation sessions (with half the participants in each) near the end of the program. These sessions, during which participants were particularly candid about the strengths and weaknesses of the program and willing to make suggestions for potential changes, were an excellent complement to the written, session-specific evaluations.

What did the participants tell us about the program? The overall reaction was positive. People felt that the program was useful and that their time was well spent. There was some concern about the focus of the program. Was it an orientation to the University or a training program for managers? Although the program emphasized the former, some participants had entered the program expecting to gain managerial skills training. It is clear that both University orientation and management skills training are necessary. But it was recommended that they not be included in the same program.

There was varied reaction to individual programs and speakers. While there were a few clear favorites, many were ranked high by some and low by others - a result of the individual participant's personal style and expectations. For example, the presentation on career planning and self-assessment was rated excellent in terms of content, presentation style, and group interaction, but some participants thought the session should not be included in this program or should be offered at the beginning rather than at the end.

In general, there was a call for the sessions to be much more library-specific. There was a great deal of interest in how faculty and University administrators view the Libraries and its services. Participants wanted to see a more direct link between what they were learning and their jobs.

Participants especially appreciated the sessions that required substantial advance preparation on their part. Those sessions with assigned reading were viewed as much more beneficial than those without. Even more useful were sessions with assigned case studies or problems to analyze. These gave group members a stake in the session because they arrived as participants rather than listeners.

Some of the presenters were very effective in establishing rapport with the group and in inviting questions and comments despite their use of a lecture format. The sessions that were best received, however, were those in which there was the greatest amount of participation and interaction. Discussing a case or breaking into small groups were effective ways of involving individuals in the session.

For the program as a whole, some disappointment was expressed that there was not more interaction throughout the sessions. There was also a sense that the group had not coalesced as an entity as much as desired. The esprit that began at the retreat did not grow through the year. If the participants were to function effectively as a group, the sessions should probably be more frequent than monthly. There might be additional get-togethers outside the meetings. This group had a wine and cheese gathering mid-program and a concluding dinner, both of which were quite successful. Also, the suggestion was made that the sessions might be more productive if they, like the retreat, were held outside the library.

The comments and suggestions of the participants were very valuable to us as planners in assessing the effectiveness of the program and in determining whether to recommend its continuation. We were pleased with the program. There is commitment to and support for this kind of activity in the Libraries and the University. We were given funds and support by the library and University administrations, and our participants were consistent in attending sessions, evaluating sessions, and expressing a willingness to help and contribute. We had no refusals from the very busy people we asked to serve as presenters. They were all interested and willing to participate.

From the operational standpoint we found it exciting to plan and implement a new program. For us the program involved resolving those major questions: What is our objective? How do we achieve it? Who should participate? How do we evaluate what we're doing? Implementing the program also involved a lot of time, effort, and attention to detail. We spent a great deal of time talking with presenters, getting material to participants, writing letters confirming presenters' participation before the session and thanking them after, keeping participants informed of developments, schedule changes, etc., drafting, distributing, and analyzing evaluation forms, and arranging for refreshments. Each session brought some nervousness about whether the presenter, and the coffee, would arrive on time. Yet, as the year progressed we handled these routine activities more quickly and systematically, so that the time and effort expended overall were quite modest.

We were sufficiently pleased by the reception and results of the program to recommend that it be offered again. The library administration agreed and funded the program for 1983-84. Because the MDP began as a staff development opportunity and because the two library planners found program organization and implementation as instructive in the ways of the University as attendance at the sessions, we encouraged the 1982-83 participants to become directly involved in program planning for 1983-84. Eight participants volunteered. We, the two library planners for the first year, have assumed the advisory role that Vice Provost Bacchetti and Associate Provost Price assumed in our planning meetings. To take into account interests of the individual volunteers, and to achieve efficiency, tasks were apportioned so that each volunteer is now involved primarily in one aspect of planning.

Several changes have occurred. First, the program is more clearly focused on orientation to the University - its culture, its values and priorities, and how affairs are managed within that context. The need for skills training is being addressed in a new Management Workshop Series developed by the Library Personnel Office.

Second, the program will be concentrated within a shorter time span to promote group cohesiveness and insure more continuity from one session to another. The program began in late January and will conclude in early June. Sessions will be bi-weekly with more opportunity for participant interaction outside of the formal gatherings.

Third, efforts are being made in designing sessions, selecting presenters and working with presenters to make the sessions more directly related to the Libraries. The 1984 participants are working with members of the planning committee to develop the content of each session. They are polling fellow participants to insure that their questions will be covered and they are personally briefing presenters before each session. We believe that their active involvement in the program will enhance the rewards they receive from it.

Fourth, many of the sessions are being held outside the library. This permits the staff participants to physically distance themselves from their daily routines and to meet with presenters in their office environment. As an example, the session on governance of the University was this year held in the University President's Conference Room.

Fifth, presenters are being more strongly urged to assign readings, case studies, and problems for analysis and to use small groups or other methods to encourage participation. Since it is desirable to schedule key University personnel and since these people are typically very busy and performing a service for us, it is very difficult for us to push too hard on this issue. We are, more or less, at their mercy. We can have either the speakers we want or control of session content. It seems that having the key speaker is worth some risk in style and content. We continue to persuade them to suggest preparatory materials.

Implementing these changes, we are enthusiastic about the 1984 SUL MDP. We believe that this kind of program can be extremely valuable in helping academic library managers understand the myths and realities of the institution in which they work. Universities such as Stanford have a "culture" that differs from the business world and from other academic institutions. If a manager is to be effective and reasonably happy, it is important for him or her to understand such cultural characteristics as the faculty's role in governance, the consensus style of decision-making, and the manner in which the budget is constructed. It is also very helpful to have these things explained by the University officers who administer the relevant programs.

The SUL Management Development Program is a means for providing exceedingly valuable information that is not included in textbooks, skills workshops, or general orientations to the Library and the University. It helps to explain reality, dispel some myths, and underline the significance and power of others.

HOW ACADEMIC LIBRARY BUDGETS ARE REALLY DETERMINED

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Abstract. Information about budget allocation systems for academic libraries is summarized from a study of how funding agencies determine allocation levels. Study responses show that historical allocations, rather than actual analysis of needs, shape library budgets. Libraries have been unable to demonstrate budget needs or the consequences of poor funding to universities. The widely differing levels of funding for libraries will probably continue. Well-funded libraries will continue to be a resource for poorer libraries and will be called upon to share resources even more than in the past.

Keywords and Phrases. Administration; Allocation systems; Budgets; Formula budgeting; Resource sharing; Standards for academic libraries.

INTRODUCTION

Academic library budgets have come under increasing review in recent years as public and private funding for higher education has diminished. Many libraries have experienced real cuts in staffing and acquisitions budgets, and almost all have been faced with reductions in purchasing power over the past decade. While libraries have spent great amounts of energy and planning time trying to reallocate reduced resources among internal library needs, there has been significantly less effort spent in addressing the methods by which the total library budget is determined and allocated.

The subject of library budgeting fits in well with the conference theme of "myth and reality" because many people, both inside and outside libraries, believe that library budgets are based on formulas, enrollment ratios, academic degree programs offered, or other specific factors which can be used to generate appropriate levels of funding for staff, acquisitions or other expenses. In reality, this is not the case. Most often, the total amount of resources available to academic libraries--in effect, the library budget--is not based on objective analysis of need or other quantifiable data.

Basic information on the budget allocation process for a sampling of ARL libraries was collected last year through a study sponsored by ARL's Office of Management Studies. The full results of the study are available in OMS Occasional Paper Number 7--"Budget Allocation Systems for Research Libraries". Ten ARL libraries (approximately 10% of ARL membership) agreed to provide information on how their annual budgets were determined. The study was designed to gather information on the personnel budget, the acquisitions budget, and the operations budget. The objective of the study was to document the budget allocation systems used by funding agencies to determine appropriate levels of funding for academic research libraries.

In reviewing budget statistics from ARL libraries, one can see that there are wide discrepancies in funding levels for libraries serving similar-sized student populations and supporting similar academic programs. The past year's ARL Statistics show that two academic libraries, both at state-supported public universities, each support PhD. programs in 49 academic areas and serve between 19,000 and 20,000 full-time students. One library has a budget of $9,000,000 and 300 FTE staff while the other has a budget of under $5,000,000 and 180 FTE staff. What factors lead funding agencies to provide nearly twice the budget support to one library over another when both support nearly identical programs?

THE ALLOCATION PROCESS

The study of budgeting practices among ARL libraries showed consistently that budget allocation systems for libraries do not utilize factors which relate users to budgets in any quantifiable way. When libraries were asked whether some type of formula were used to determine the number of staff employed, nine of the ten libraries responded that no formula existed. Budget allocations for staff at those nine libraries are based on the historical allocation levels for staffing. Further information from those libraries showed that the historical allocation level was not based on any detailed or objective analysis of staffing needs in relation to students or academic programs, but was based rather on the amount of funding that has been available through the years. At the remaining library, a complex formula based on student and faculty FTE, service points, and hours of operation had been developed to determine appropriate levels of staffing for the library. Since the development of that formula in the 1970's, full funding for all staff recommended by the formula has never been available, and the formula has recently been found to be unworkable. In effect, the funding agency--in this case, the state legislature--does not use the formula it had developed.

Funding for acquisitions budgets follows a similar pattern. For eight of the ten libraries surveyed, no formula exists to determine the acquisitions budget. There are no formal mechanisms which relate the book budget to either the student population or the degree programs offered. At the remaining two libraries, formulas exist which take into consideration the number and level of students and academic programs. However, at these two libraries, the allocation levels recommended by the formula have not been fully funded in recent years. In one of those libraries, actual funding has been less than 60% of formula recommendations.

The remaining budget category surveyed provided information on the rest of the library budget--that portion which is usually called the "operations" budget or the "supplies and expense" budget. The survey results were much the same. No library used any formal mechanism to determine an appropriate level for its operations needs. As was the case in other budget categories, historical allocation levels were the basis for the operations budgets in all ten libraries.

A summary of the budget information collected from the ten ARL libraries reveals the rather surprising situation that not one of the libraries surveyed has any portion of its budget funded at a level which is determined through the application of quantitative data. Extrapolating from this statement, one can further conclude that budgets for those libraries are not determined in a manner which is based on recorded or expected use of the library by its students.

The ten libraries surveyed represented a wide range of institutions--public and private, well-supported and poorly supported libraries from all areas of the country. If the budget situations at these libraries do supply a valid sampling of how academic library budgets are allocated in general, one may ask whether there could be a better or more objective method of determining library budgets.

Budget formulas attempt to ensure that adequate funding is available for books, staff, and equipment sufficient to meet the needs of the users. Formulas tie certain amounts of resources to certain numbers of users or levels of usage. Since very few libraries have developed formulas, and since those that have developed them are not funded at recommended levels, what conclusions can be drawn?

HOW MUCH IS ENOUGH?

Perhaps the main conclusion is that universities and higher education in general cannot document what resources are needed in libraries to support effective education. When libraries attempt to set minimum standards for budgets through development of formulas or ratios of support, a problem arises. Recommended standards are not met, yet the universities continue to function, the library serves its users, and degrees are awarded. In the budget example cited above, one library had nearly twice the budget resources and staff of another which served exactly the same sized campus and same number of degree programs. The library profession cannot use this example, however, to point up the deficiency of the lower-funded library because there is no demonstrable evidence, in fact, that the education process suffers. On those occasions when research libraries have addressed the concept of minimum standards and reached some agreement, they have failed to convince funding agencies of the validity of those levels. A further irony that applies here is that in the budget example given above, the library with the budget twice as high as the other does have a formula in place, but it is not fully funded.

The reality of library budgeting and library funding is that it varies greatly among similar-sized academic libraries with similar missions. There are aspects of library budgeting which are admittedly complex--no two collections are identical, no two layouts of service points are identical, no two philisophies of technical services are identical. However, even in areas where analysis and formal budget documentation can be easily accomplished, such attempts are not made.

For example, the operations budget is used to fund regular contractual expenses such as bibliographic utilities, maintenance contracts, and circulation systems. It also funds predictable purchases such as supplies and equipment. The needs of a library in this area of budget could be easily documented and presented in a straightforward manner each year, yet none of the libraries surveyed--nor any others that I know--itemize their needs in this area to funding agencies. Strangely enough, funding agencies do not ask for this information either.

The operations budget is the fastest growing area of expenditure for academic libraries, increasingly radically from a decade ago when most libraries spent little on automation efforts or computer hardware. This area of budget would seem to be a natural for a zero-based budget request or some similar type of regular review which could identify the costs of specific services and operations. However, funding in this area is again based on the historical allocation level adjusted annually for inflation--a practice which has little relevance to today's needs. In fact, many libraries supplement the operations budget with funds allocated originally to personnel or acquisitions budgets. In my own library, we needed to transfer about 50% more funds to the operations budget than had been allocated last year. That percentage will be even higher this year.

The concept that academic libraries are budgeted on the basis of empirical data, projections, formulas, standards, or other analysis is a myth. The reality of library budgeting today and in the recent past is that measures of library need are secondary to the fiscal health of the funding agency. Increases or decreases in the library budget take the form of minor adjustments to the historical base rather than regular reviews of total need based on detailed or comprehensive budget requests. Indicative of the low level of attention given to the budget request process is that only three of the ten libraries surveyed had documentation available which could show how their total library budget was determined.

The result of present budgeting practices which do not challenge the historical base for allocations is that those libraries traditionally funded at high levels relative to other libraries have stayed there. Those at low levels have stayed there too. The axiom that the rich get richer and the poor get poorer has some validity in library budget practice.

FINAL THOUGHTS

Still unanswered by this paper or by higher education in general is whether anything other than relative measures of library support can ever be agreed upon. Can one say whether there are absolute levels of fiscal support which are required for academic libraries? Clearly, there has not been agreement in the past. Just as clearly, there is not agreement today when libraries are funded at widely different levels. It is also probable that there will be no agreement in the future either because the situation surrounding academic libraries is becoming more complex. The proliferation of cooperative arrangements, shared data bases, and other technology-based systems makes the needs of individual libraries less clear.

The ability of libraries to locate and obtain information quickly from other libraries calls into question some basic tenets of library planning. One library in the survey noted that its state legislature would like to consider all its state-funded academic libraries as one bibliographic system. In effect, resources at one location need not be duplicated at another. While this concept is not new to academic librarianship, the degree to which it is being implemented now is greater than in the past. An example of this pattern of shared responsibility is the Research Libraries Group Conspectus project which formalizes the understanding that collection development at a national level is both practical and necessary. In California, regional book depositories are part of the statewide plan for academic libraries to save capital budget dollars at the expense of individual campus autonomy. As the reality of tighter budgets drives new analysis of academic library programs, library budgeters will be under pressure to justify needs more analytically and to work harder at sharing resources.

For the immediate future of library budgeting, one might expect that the situation developing today will remain for the foreseeable future. Academic libraries will continue to be funded at dramatically different levels and academic degrees will continue to be awarded. The richer libraries will become an ever-increasing source of resources for the poorer ones by making collections available through interlibrary loan, by inputting the bulk of original cataloging into bibliographic utilities, and by financing the development of computerized catalogs and database systems which facilitate the sharing of resources.

Section VI:

PUBLIC SERVICES

THE SOCIAL SCIENCE REFERENCE LIBRARIAN AS READER'S ADVISOR

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Abstract. The assumption that the users of academic reference services in the social sciences are either faculty members or students, working under close faculty supervision, is both inaccurate and disabling. It has encouraged an emphasis on quantity rather than quality and an over-reliance on indexes and abstracts in reference service. Acceptance of the role of reader's advisor and greater reliance on evaluative, intermediary sources is recommended. Reference librarians are urged to take a more active role in influencing the design of future reference works. Ways of expanding our access to the cumulative judgment of scholarly communities are suggested.

Keywords and Phrases. citation analysis; information quality; intermediary sources; microcomputers; reference sources; social sciences.

This paper is about academic reference service in the social sciences. It suggests that an unexamined assumption about the audience we serve conditions our definition of reference service and the design of many of our reference tools, to the detriment of both. The assumption is that faculty members, and students working under close faculty supervision, are the typical users of academic library reference services. I believe that this assumption has permitted us to ignore questions of information quality and encouraged us to offer what is often an inappropriate level of service to our actual clientele.

Extensive research on the information needs and habits of social scientists, much of which has been done in Great Britain, has revealed that social scientists as a group are neither heavy library users nor particularly sophisticated in their awareness of bibliographic sources. They rarely make use of the abstracts and indexes designed for them. They rely instead on knowledge gained through personal journal subscriptions and an "invisible college" of colleagues and co-workers, who are linked together through professional meetings and the long lines of the telephone system.[1]

When I first began to work closely with social scientists, I was somewhat taken aback by what appeared to be their cavalier disregard for bibliographic research. Whereas scholars in the humanities generally feel a compulsion to read everything written on their chosen topic, social scientists are often content with the knowledge that no one has approached the question at hand from their particular methodological perspective. They tend to concentrate their anxieties on questions of experimental design, data collection and analysis.

The disuse of library resources by academic social scientists has caused some writers to contend that library research tools and services must be reconfigured in order to better serve faculty needs and advance the larger cause of social science research.[2] I believe we need to be concerned about the lack of fit between our reference resources and the actual needs of scholars. David Shupe gave an eloquent and disturbing scouting report on this theme, in his paper on "Bibliopoetics," at the 1981 ACRL conference.[3] I also believe, however, that it is a mistake to assume that services designed to meet the needs of scholars will be equally appropriate for our students.

Many of the users of social science reference materials and services are not working under the supervision of social science faculty. Some are not students at all; others are pursuing personal interests or research and writing assignments stemming from introductory composition courses or departments and programs outside the social sciences. Even when students are working on research projects for social science classes, they are frequently investigating topics beyond the relatively narrow bibliographic expertise of their teachers.

Students requesting reference assistance in the social sciences are generally without sophistication concerning the structure of the literature in their field of interest. Often with a nudge from the librarian, beginning researchers have a tendency to jump in at the deep end of the pool. They characteristically focus on too narrow and specific a definition of their topic or data need, thus ignoring logically antecedent literature and issues. The psychology student, seeking to understand the effect a mother's attitude toward child rearing may have upon her choice of child care alternatives, is not likely to succeed by researching this topic in Psychological Abstracts. He or she needs to begin instead with a consideration of what we do and do not know about measuring attitudes and a review of the problems associated with isolating specific variables from other environmental influences. Similarly, the sociology student seeking data on crime rates from the FBI's Uniform Crime Reports needs to be made aware of how this data was assembled and how its figures differ from those reported in victimization studies.[4]

Obviously, in such instances, the quality of the initial reference interview is of critical importance. Recognition of the latent as well as manifest information need does not, however, ensure quality service. Not surprisingly, librarians try to formulate user questions in terms of the resources that are most readily available. "Day care" can be looked up in several indexes. It can also be searched on-line, in the PsychINFO database, as "Child Day Care" and linked with other relevant terms such as "Childrearing Attitudes" and "Choice Behavior." Recommending a good review of attitude research or an authoritative treatment of the methodology of criminal justice statistics can be a more problematic undertaking for the librarian.

Even when the initial question is more straightforward, a similar situation often arises. Most of us would have no problem supplying a student with an extensive bibliography on modern Chinese politics. Few of us are, however, prepared to suggest which books and articles give the best introduction to this topic. Like the indexes and databases, upon which we rely so extensively, we define our role as non-evaluative. We provide access to information, we do not seek to judge its merit. If we think at all about the notion that making evaluative discriminations and seeing the particular as an instance of something more general are key parts of the educational enterprise, we are apt to consign such tasks to the exclusive realm of the teaching faculty.

Students, however, are pragmatic if unsophisticated. If we confront them with unmanageable amounts of information, they will make their own haphazard discriminations. It is my contention that we must reject such an unhelpful stance of neutrality and seek to assist our patrons to make what are inevitable choices as intelligently as possible. To borrow a phrase that, in this country, is used almost exclusively in a public library context (and persists in the library literature on the basis of its popularity in Eastern Europe and the Soviet Union[5]), we must become reader's advisors. We must be ready to suggest not just sources of bibliography but particular books and articles to our students and patrons.[6]

While I believe that a vigorous prejudice can be of great educational value, provided that it is not dressed up as fact, most of us generally prefer to rely on less dictatorial and more objective measures. The best guide to academic quality is the cumulative judgment of a scholarly community. Often this consensus is expressed in a review essay by an acknowledged authority in the field. Many expressions of this kind of cumulative judgment already exist. Some may be embarassingly close at hand; others may have to be created.

In order to enhance our students' access to evaluative judgments, we need, both in our reference and bibliographic instruction activities, to pay much more attention to what Raymond McInnis has called "the pattern or sequence of intermediary sources."[7] Because they occupy such a large chunk of both our reference rooms and our reference budgets, we have perhaps tended to overemphasize the use of indexes and abstracts in our reference work. In doing so we have lost sight of the proper role of textbooks, encyclopedias, handbooks and reviews of research. How many of us turn to the Encyclopedia of Educational Research or the Review of Research in Education before referring a student interested in bilingual education to the Education Index or ERIC? Would you think to start a student studying the role of advertising in politics with the Handbook of Political Communication instead of P.A.I.S.? Would a patron in your library interested in the performance of women in the executive suite be referred to Stogdill's Handbook of Leadership as well as Business Periodicals Index? They probably would not be so lucky in mine.

We librarians must become familiar with the scope and content of intermediary sources if we are to use them effectively. It is not enough to put them on our reference shelves; but it is a start. Many libraries, which have only circulating copies of important intermediary sources, need to acquire added copies for their reference collections. In some cases library guides and pathfinders need to be redesigned to better highlight the value of intermediary sources.

In many areas, particularly newly emerging subdisciplines, neither encyclopedic nor authoritative treatments may yet exist. In such cases we must work toward the development of the sources both we and our patrons need. The creation of new reference works is a process in which reference librarians ought to be actively engaged, either as authors and editors themselves or as advisors and consultants to both scholarly organizations and the information industry. Many of us complain about the deficiencies of the reference tools upon which we are forced to rely, but few among us are active, individually or collectively, in trying to establish the kind of dialogue that might bring us more satisfactory products in the future.

The availability of relatively inexpensive microcomputers, with sufficient memory to support the storage and retrieval of numerous citations according to fixed or pre-coordinated indexing schemes, promises a proliferation of personalized, in-house, retrieval systems. Reference librarians will be able to automate files of key books and articles on frequently requested topics. These files will be drawn not just from published bibliographic sources, but also from personal review of new books and journals, faculty and student recommendations and assigned reading lists. Some of these in-house systems will undoubtedly go beyond the enhancement of local reference services to become pilot versions of indexes and information services that may subsequently benefit us all.

Microcomputers can only facilitate access to information we already possess. Citation analysis and survey research seem the methoos most likely to advance our collective access to the cumulative judgment of scholarly communities. Through the technique of co-citation analysis, Howard White, Belver Griffith, and their students at Drexel University have already produced fascinating mappings of theory groups and what they term "the intellectual structure of disciplines."[8] The estensive database created by the Institute for Scientific Information, which White and Griffith have manipulated so skillfully, might also provide a basis for the continuation of the important work begun, more than two decades ago, in the Mental Health Book Review Index. Ilse Bry and her colleagues on the editorial committee attempted to interpret the cumulative record of a book's reviews as a source of qualitative judgment. Bry's wide-ranging essays, most of which began as editorials in the Mental Health Book Review Index, reamin a challenge and an inspiration to all who are concerned with bibliographic studies in the social sciences.[9]

Since librarians and library organizations are already enthusiastic distributors of questionnaires, a survey research approach to the problem of information quality should appeal to many. In this regard, I should like to call attention to a particular survey technique, originally developed by the RAND Corporation for use in its classified studies on nuclear warfare strategy. The special virtue of the "Delphi Technique" is not any particular oracular profundity, but rather its highly practical ability to move panels of selected experts in the direction of consensus judgments. Although typically employed to forecast future trends and events, the sequence of mail-back questionnaires used in most Delphi experiments seems ideally suited to the task of surveying national samples of faculty about the most valuable monographs and papers in their respective fields.[10]

Although I have questioned the bibliographic expertise of most faculty and suggested that on-line systems too often bring us quantity instead of quality, this is neither a populist nor a Luddite document. I have stressed the importance of written evaluative materials, and the informed yet subjective judgment of individuals, because I see these as the building blocks that will ultimately enable us to replace the neutral systems of today with the expert systems of tomorrow.

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BIBLIOGRAPHIC DATA BASE SEARCHING:
THE USE AND COST OF A FREE SERVICE

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Abstract. Five years experience with free bibliographic data base searching is described. A comparison is made between searching in the sciences versus the social sciences and the humanities. Also compared are the request patterns of different categories of clients. Annual costs for the service are presented as well. Conclusions based on the five years of experience are drawn.

Key Words and Phrases. Searching, Searching costs, Cost of searching, Fees for searching.

The subject of fees for bibliographic data base services in academic libraries has generated considerable debate.[1] Two different questions have been discussed at length. The first is whether any service integral to an academic library's reference function should be charged to the individual user. The second, more pragmatically, asks if the large expenditure for data base access can ever be incorporated into the normal library budget.

Some libraries have been able to offer free data base searching and have reported this in the literature.[2] These libraries typically have a fairly small number of searches annually, and a proportionally small budget, limiting the value of conclusions drawn from their experience. Still lacking is an in-depth analysis of the use of a free data base service over a long period of time with a large number of searches being conducted for faculty, graduate students and undergraduates. Some important general conclusions could be drawn from this type of analysis, including what category of users and what departments or subject fields make the most use of bibliographic data base searching, and what are the discernable trends in the budget requirements for this type of service.

Since libraries do not have such data at hand, a number of assumptions have grown up around the topic of bibliographic data base searching. One of the most common assumptions is that the cost of free searching will escalate out of control or at least more rapidly than other costs, sooner or later making it impossible for a library to include it in the regular budget. Another assumption is that researchers in the scientific disciplines are more likely to use these services than the social sciences and humanities.

In this paper we will attempt to analyze the reality of bibliographic data base searching in one university library which has offered a totally subsidized search service since 1978. The experience of this Library will show that many common assumptions about free data base searching do not hold true.

Data base searching has been offered at Memorial Library at Marquette University since 1978. From the beginning, computerized searching was viewed as an important enhancement of the traditional reference service and was provided free of charge to all members of the Marquette community. Subsidy of computerized reference services (data base searching) and provision for the service as part of the regular Library budget was a joint decision of the university administration and the Library staff. In the past five years, detailed statistics have been kept on the use of data base services by various members of the Marquette community and on the cost for these services.

When the service started, the main objective of the Library was to publicize it as widely as possible and to encourage everyone with a legitimate need for on-line searching to submit a request. Predictably enough, the volume of search requests that first year was fairly low, with a total of 808 searches being conducted. Publicity continued during 1979-80, and searching requests increased as faculty members, graduate students and undergraduates came to realize the convenience of having a customized bibliography prepared for them. During 1980-81, 1,430 searches were performed, and the budget for computerized reference was beginning to increase noticeably. 1981-82 saw an even more significant increase in the volume of data base searching. One major reason was the opening of the separate Science Library at Marquette which provided a second outlet for library service. Computerized reference seemed to have a special appeal for the Science areas, and more and more requests were accepted at the Library. For the first time, the number of searches performed exceeded the 2,000 mark. As a result, the searching budget for 1981-82 was almost totally expended four months before the end of the fiscal year.

Obviously, this provided a compelling incentive to re-examine Marquette's policy of free searching. In order to complete the fiscal year, a special budget allocation of $12,000 was needed from the university administration. The importance of data base searching as a reference service was discussed at some length by the Public Services staff. Who benefited from this service? Were we committing a disproportionate amount of Library resources on a small segment of our community? Was the demand for searching possible to control, or at least to predict? Some of the answers had to be sought in our first four years of experience.

All available statistics on data base searching were compiled and analyzed in detail. The analysis showed that the computerized reference service at Marquette was not dominated by any one type of user nor was it exclusively the domain of the Sciences or the Social Sciences and Humanities. It was widely used across subject areas and searches were requested by both faculty and graduate students as well as undergraduates and Marquette staff. Almost every academic department had some occasion to request a data base search. On the basis of this analysis, it was decided that free data base searching would continue, and that the necessary funds would be added to the Library budget.

Experience during the past two years has confirmed the results of the 1982 analysis. The use of data base services by categories of users and the costs at Marquette are reflected in Table 1. The breakdown of searches by subject fields in Table 2 provides some interesting data that is worth analyzing in some detail. There has been a remarkable consistency over the past five years in the departments which make heavy use of data base searching. In the Sciences, these departments have been Chemistry, Biology, Nursing, and Dentistry (Basic Sciences). In the Social Sciences and Humanities, these departments have been Business Administration, Education, Journalism, and Psychology. Although the percentages may vary somewhat from year to year, these departments have always been the eight top users. Our 1981-82 statistics, for example, show Biology with 13.9% of the total number of searches run, Nursing with 11.6%, and Chemistry with 7.6%. Our 1982-83 statistics show Chemistry with 14.6% of the total number, Nursing with 12.7%, Biology with 10.6%, and Basic Sciences with 7.3%. In the Social Sciences and Humanities in 1981-82, the Education Department accounted for 13.3%, Business Administration for 8.3%, and Psychology accounted for 5.9% of all the searches run. The statistics for 1982-83 show that Business Adminisration had moved to the top with 8.3%. Education was next with 8.1%, Journalism now accounted for 3.6% and Psychology for 3.5% of all searches done. It should be noted that in the Sciences during 1982-83 the top four users accounted for 45.2% of all the searches. There were eight other areas requesting some searches, but most of these were quite low in number. In the Social Sciences and Humanities searching is less dominated by the top four users, since Business, Education, Journalism and Psychology only accounted for 23.5% of all searching done. Ten other areas requested searches, and many of these had a significant number done during the year. Since the service is not charged to the department or to the individual, these statistics indicate the amount of interest in online searching in particular subject fields, and the widespread demand for the sort of research support which is provided by online data base services.

Another way of analyzing the demand for data base searching is to compare the Liberal Arts and Sciences use to that of the Professional Schools. The percentage of searches generated by the Professional Schools over a 5½ year period is presented in Table 3. These schools have always accounted for more than half of the data base searches at Marquette.

The data displayed in the attached tables were converted to percentages to demonstrate more clearly the relative use between categories of clients and between subject areas. Comparison of searching data is always hazardous. We are not aware of a standardized definition of a search, although at least one attempt has been made in the literature.[3] In common use in Milwaukee is the counting of each sub-file that has been searched. This results in a skewing of the statistics towards the Sciences, because the Science data bases are much larger than Social Sciences and Humanities data bases. The greater size necessitates the dividing of these files into sub-files. Therefore, a search request in the Sciences usually generates a higher count or more searches. The cumulative data for the Sciences for 1982-83 are nearly twice those for the Social Sciences and Humanities, 58.8% compared to 30.4%. However, a comparison of the number of requests received shows that the Sciences accounted for 51.4% and the Social Sciences and Humanities 48.6%. Therefore, at Marquette, there is an almost equal split between Science, and Social Science and Humanities search requests. Because of the heavy use by areas such as Education, Business and Journalism, we expect this even division of requests to continue.

Additional conclusions can be made from the statistics according to the status of the requester. There was a total of 488 requests for searches at the Science Library in 1982-83, with 47.1% of the requests from faculty members, 42.3% from graduate students, 4.7% from undergraduate students and 5.9% from the staff of the Science Library or staff from other units on campus. At Memorial Library, with 449 requests, the faculty members in the Social Sciences and Humanities accounted for only 26.3% of all computerized search requests during 1982-83. Graduate students requested the majority of all searches with 52.2% and undergraduates requested almost twice the percentage of those in Sciences with 8% compared to 4.7%. The staff of the Library and other units on campus accounted for 13.5% of all the searches run. While there is some variation from year to year in the percentages, this break-down is very typical of how our various categories of users approach computerized reference. That is to say, the faculty and graduate students account for the vast majority of requests for searches, with the graduate students in the Social Sciences and Humanities requesting a higher percentage of searches than the faculty, and the faculty in the Sciences accounting for the majority of searches in this area.

It is noteworthy that the graduate students in the Social Sciences and Humanities are the most frequent users of the service. This seems at least in part due to the fact that the individual students do not have to pay for their on-line searches. Since students are far less likely than faculty members to have grant support, Marquette may have a higher percentage of use by students as compared to libraries that charge for searching. There has been no evidence of abuse of free searching by undergraduates. In fact, because the type of search they request is generally straightforward, this category of use accounts for a tiny percentage of Marquette's overall data base budget. Excluding undergraduates, therefore, would have little impact upon costs.

Finally, it should be pointed out that the budget for data base searching at Marquette has stabilized. The peak expenditure of $30,821 was reached in 1981-82; since then the amount spent annually on searching has actually declined. Once the budget was adjusted for the surge in demand at the new Science Library, data base service costs have been quite predictable.

An analysis of the statistics available for the computerized reference service at Marquette University leads us to the following tentative conclusions:

1. The frequency of data base search requests by researchers in the Social Sciences and Humanities is approaching that of the researchers in the Sciences.
2. Overall, graduate students are the most frequent users of a free search service.
3. Undergraduates do not abuse access to a free search service.
4. Nearly all academic departments or areas utilize some data base searching each year.
5. The most frequent use of the data base service is concentrated in a small number of disciplines, especially those represented by professional schools.
6. The demand for and cost of free data base searching service tends to stabilize over time.

The experience of one university library will not necessarily be replicated at all others. However, it might be useful for the next stage of the debate about free versus fee-based data base services to take into account the fore-going conclusions and test them at other universities.

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Table 1

USERS AND COSTS OF
BIBLIOGRAPHIC DATA BASE SEARCHING

	1978-79	1979-80	1980-81	1981-82	1982-83
Faculty	38.6%	37.3%	34.4%	39.2%	39.7%
Graduate Students	53.2%	56.9%	56.4%	46.1%	45.8%
Undergraduate Students	5.7%	4.8%	7.7%	10.0%	5.9%
Staff	2.4%	1.0%	1.5%	4.7%	7.4%
Other	-	-	-	-	1.2%
	99.9%*	100.0%	100.0%	100.0%	100.0%
Costs#:	$10,188.98	$16,123.30	$19,143.31	$30,821.72	$27,300.64

* Rounding error
# Excluding staff time and equipment

Table 2

BIBLIOGRAPHIC DATA BASE SEARCHING BY SUBJECT FIELDS

	1978-79 %	1979-80 %	1980-81 %	1981-82 %	1982-83 %
Biology	14.5	9.7	12.1	13.9	10.6
Chemistry	9.1	5.0	6.0	7.6	14.6
Communicative Disorders	-	-	-	2.0	1.0
Dental Hygiene	-	0.9	0.2	0.8	0.5
Dentistry-Clinical	3.5	3.0	2.3	3.5	4.2
Dentistry-Basic Sciences	6.1	4.0	3.5	4.6	7.3
Engineering	5.5	4.8	10.1	8.1	5.8
Mathematics	0.4	-	-	-	0.1
Medical Technology	-	1.2	0.5	0.3	0.1
Nursing	15.6	18.5	14.8	11.6	12.7
Physical Therapy	1.8	0.9	1.2	1.4	1.4
Physics	1.6	1.0	1.3	0.5	0.5
Science Total:	58.1%	49.0%	52.0%	54.3%	58.8%
Administrative Departments:	2.4%	4.5%	2.7%	6.5%	10.7%
Anthropology	-	0.1	-	-	-
Business Administration	5.0	7.7	9.3	8.3	8.3
Education	17.3	16.8	17.5	13.3	8.1
English	0.9	1.1	0.8	0.6	0.8
Foreign Languages	-	-	-	0.5	0.8
History	2.3	1.6	0.6	1.0	0.6
Journalism	2.6	6.1	3.3	3.1	3.6
Philosophy	0.1	1.4	1.5	0.7	1.0
Political Science	-	-	0.3	0.3	0.3
Psychology	6.0	5.7	4.1	5.9	3.5
Social Work	-	0.9	0.4	-	-
Sociology	0.5	0.1	3.0	1.2	1.1
Speech	2.8	3.4	2.3	2.7	-
Theology	2.1	1.6	2.2	1.6	2.3
Social Science & Humanities Total:	39.6%	46.5%	45.3%	39.2%	30.4%

Table 3

BIBLIOGRAPHIC DATA BASE SEARCHING
BY PROFESSIONAL SCHOOLS

	1978-79 %	1979-80 %	1980-81 %	1981-82 %	1982-83 %
Business Administration	5.0	7.7	9.3	8.3	8.3
Dentistry	9.6	7.0	5.8	8.1	11.5
Education	17.3	16.8	17.5	13.3	8.1
Engineering	5.5	4.8	10.1	8.1	5.8
Journalism	2.6	6.1	3.3	3.1	3.6
Nursing	15.6	18.5	14.8	11.6	12.7
Speech *	2.8	3.4	2.3	4.7	1.0
Professional Total:	58.4%	64.3%	63.1%	57.2%	51.0%

* Includes Communicative Disorders

A MATRIX MODEL OF ORGANIZATION FOR A UNIVERSITY LIBRARY PUBLIC SERVICES DIVISION

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Abstract. Staff inertia, poor utilization of group planning and problem solving skills, and diminished institutional commitment are often by-products of traditional bureaucratic organizational models. An alternative to this hierarchical model is matrix type organization. In this paper we discuss the societal trends and individual needs which have led organizations to shift to matrix structure. We then explain briefly what matrix organization is and how it works. Finally, we present a case study of adaptation of the matrix concept to the public services division of a medium-sized academic library.

Keywords and Phrases. Matrix organizations, network management, "multi-boss" interactions, organizational design, job satisfaction, job design.

INTRODUCTION

It may be safely asserted that the only significant innovation in organizational structure since Max Weber first defined bureaucracy as an ideal type[1] is what has come to be called matrix organization. Within libraries, many ad hoc communication and coordination devices have been created which have resulted in what one might term network organization. These devices are familiar to us all as task forces, committees and staff positions. In addition, Michael Gorman[2] has defined "integrated librarianship" as job design in which each individual's assignment is divided among a number of professional tasks which traditionally have been viewed as separate and distinct rather than interrelated, for example, collection development, library user education, materials selection, bibliographic control, reference work, and so forth. This enrichment of the job design creates an organizational climate and requirements for communication and coordination which matrix structure is well-suited to facilitate. Matrix organization, still in its infancy, is one way of formalizing such network structures.

WHY AN ALTERNATE STRUCTURE?

A variety of forces has combined in the last two decades to lead organizations into serious reconsideration of the ways in which they are structured and managed. These same forces also affect every aspect of contemporary society, and the result has been to create a world which would be virtually incomprehensible, if not unrecognizable, to a transplanted citizen from the turn of the last century. Those conditions, of course, are those of post-industrial society, first given a name by Daniel Bell only a decade ago.[3]

The impact of post-industrial society on the information world has been widely discussed. What concerns us here are the effects on the design and management of organizations, where undoubtedly the single most important influence is the vastly increased complexity of all levels of society. Organizations have become larger and more complex, reaching their zenith in the major multi-national corporations. Within them, the interdependency of organizational units has led to recognition of the need for greater coordination, joint decision making, and improved organizational communication. The ability to store and distribute information has never been greater; on the other hand, the inability to locate the right information at the right time has become a besetting problem for many organizations. The inevitable result of rapid change, overwhelming complexity and the short half-life of information is conflict--over allocation of resources, over appropriate organizational objectives and over methods.

Individual and personal expectations have also changed in a way which significantly affects organizations. The expectation has become widespread that one's occupation will provide not only economic rewards, but also that it will be safe, clean, interesting, exhibit variety and provide some level of personal and professional satisfaction. While research results are inconclusive regarding the direct effects of worker satisfaction on productivity[4], there is evidence to support the contention that those effects are irrelevent. Rather, the expectations have become a part of the American culture, and in the process have migrated downward from the status of motivational to merely hygienic factors, in Herzberg's terminology[5]. It appears to us that this situation is particularly noticeable, and therefore important, in public sector and non-profit organizations.

Increasingly, organizations have been criticized for their inability to keep up with social and individual expectations and their failure to adapt to change quickly enough to meet competitive challenges. These criticisms have led to the search for new ways to change organizational behavior.

There are two basic ways in which this can occur. One is to work through the individual, by means of careful selection, supervision and training. The other is by altering the environment and circumstances of work--physical layout, organizational climate, organizational structure, operating systems. The second alternative has the advantage of being more within the control of management and of affecting large numbers of individuals at once. In this context, we will explore the reasons for adopting a form of matrix organization.

WHAT IS MATRIX?

First of all, what is matrix organization, or matrix management? There is no clear definition. The name springs from the easily-understood organization charts used to represent matrix structures. The contrast with the traditional bureaucratic hierarchy, shown in figure 1, will help to highlight how matrix works. In a typical matrix organization, shown in figure 2 (see following page), functional departments such as sales, manufacturing and accounting might appear on one axis, and product units on the other axis. Thus, the work group responsible for product A, say socket wrenches, would be made up of individuals drawn from manufacturing, accounting and sales. The dominant characteristic of matrix structure, thus, is the dual reporting relationship, wherein the employee literally has two (or as we will describe shortly, two or more) bosses. In temporary project management, which was the earliest form of matrix, members of the project team, such as that which developed the Polaris missile, were drawn from a number of departments and temporarily assigned to the project manager. However, they continued to have a reporting responsibility to the functional manager as well. This form has carried over into permanent ongoing matrix structures, such as that utilized by General Electric, Digital Equipment Corporation and ITT[6].

The second predominant characteristic of matrix organizations has to do with process. It is necessary in this structure to rely on getting work done by consultation, compromise, cooperation and negotiation. Davis and Lawrence[7] assert that matrix organization is a misnomer, and prefer the term matrix management, which implies that matrix is less a structure than an ongoing process which requires matrix structure, matrix behavior, a matrix culture, and matrix systems. Above all, communication is the critical key to matrix success.

Figure 1

TYPICAL HIERARCHICAL ORGANIZATION STRUCTURE

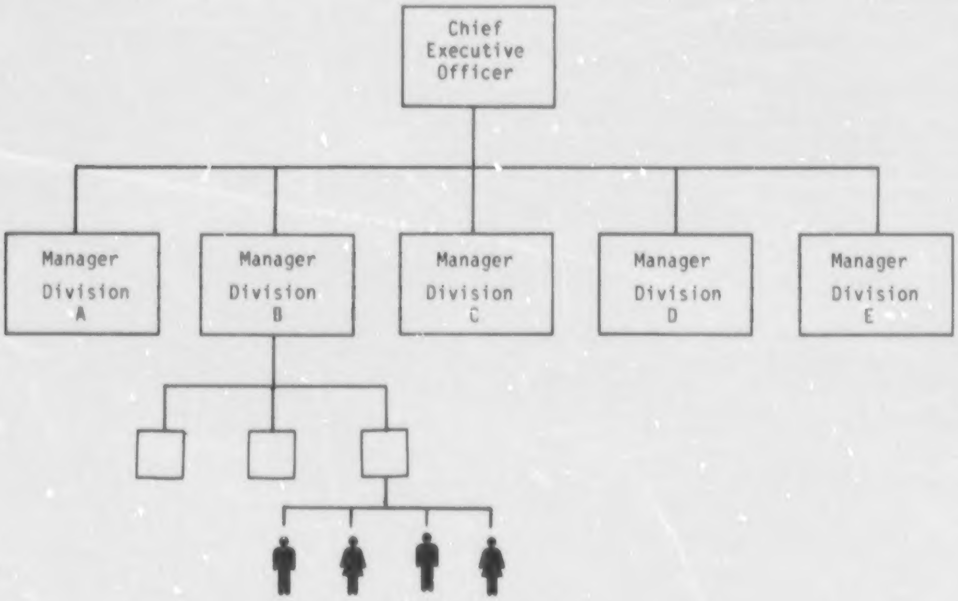
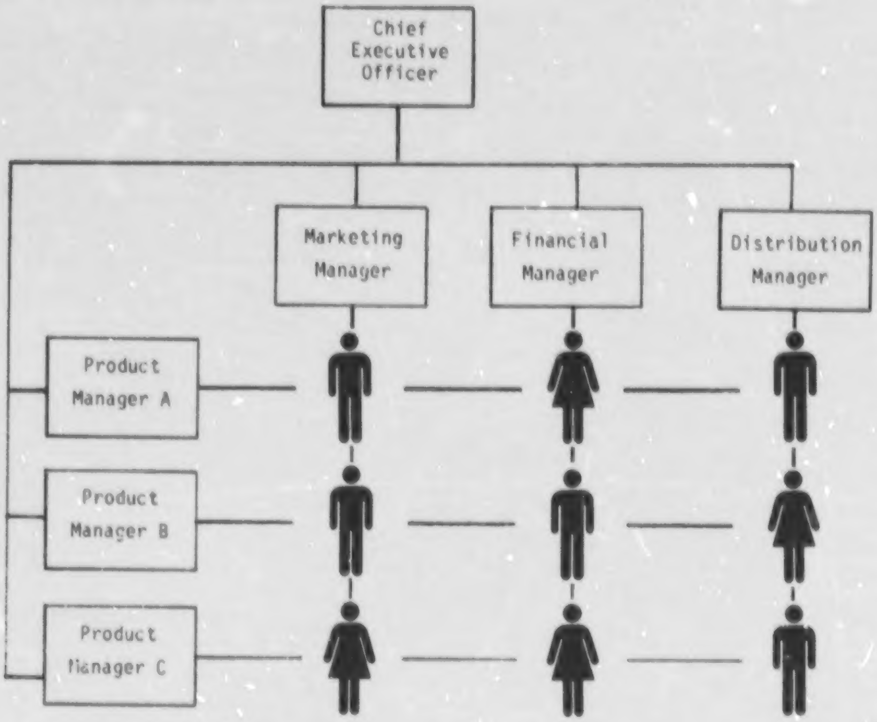


Figure 2

TYPICAL MATRIX ORGANIZATION



TWO-BOSS EMPLOYEES

Beyond these two characteristics, there are few features in common among matrix organizations. This is because the concept has sprung from actual practice in organizations. At present, the study of matrix is almost entirely a matter of describing existing organizations and attempting to establish patterns upon which a theory could be based. No real paradigm of matrix yet exists[8], nor are there any experiments or in-depth case studies available. It is not surprising, therefore, that the definition of matrix is still evolving. In addition, there are many variations on matrix management, and many organizations are partially matrix organized and partially organized along hierarchical lines in the familiar pyramidal structure.

Many advantages are claimed for matrix management. At its best, matrix increases the possibilities for direct worker to worker communication and coordination, which in turn result in better utilization of resources, increased innovation and heightened commitment to the organization. By pushing responsibility and leadership to the lowest possible levels in the organization, matrix is claimed to encourage technical authority and collegiality, values of particular importance in professionalized organizations. The increased information exchange capability can be expected to reduce the need for committees and task forces (which may be, in themselves, a roundabout way of creating the conditions which matrix explicitly fosters). Democratization of the organization, in spite of the potential for ambiguity, has enormous potential for giving workers a stake in the quality and productivity of the organization.

DIFFICULTIES IN IMPLEMEMTATION

Matrix management is difficult to implement. It runs against our cultural bias, and it is sufficiently complex and ambiguous that it requires virtually constant monitoring to keep it running well. Most of us have lived in hierarchical organizations all of our lives, and it is difficult for us to even visualize, much less adapt to, another form of organization.

Problems with matrix structures fall into three groups:

1) Anarchy and self-absorption. Because of the ambiguities inherent in the two-boss structure, and the need for constant group communication, there is danger of at worst, anarchy, and at least, over-emphasis on group decision-making and group process, either of which are likely to lead to decision strangulation.

2) Power struggles. Multiple bosses, conditioned to work in hierarchical power structures, may not be able to adapt to dual reporting arrangements and will adopt a variety of strategems to gain ascendancy.

3) Excessive overhead. This may result from too many managers, as well as from excessive time spent on group process. If it becomes an issue, there is a tendency to abandon the matrix in times of economic difficulty, as it is seen as wasteful and too expensive.

Davis and Lawrence[9] state that the difficulties of implementing matrix are so great that it is indicated only in instances where three necessary and difficult conditions prevail. First, there must be some environmental pressure for a dual focus. Second, there must be pressures for a high information processing capacity. Finally, there must be pressures for shared resources. To us, it appears that the second and third conditions are likely to obtain in nearly any complex organization, including libraries, while the first is to some extent a matter of interpretation.

A CASE STUDY

No paper on management theory today is worth its salt without the ubiquitous case study, so at this point, we would like to describe a variation of the matrix model which evolved in one of the major departments at the library at San Francisco State University. The intent of the case study is not to tell you how we did it at our place, but rather to share our perceptions of what might happen when the concept of matrix management is introduced into an environment which seems receptive to this type of organizational structure. Informally, the librarians at San Francisco State had already begun to utilize some of the behaviors characteristic of matrix. In this case study, we want to tell you how the structure was formalized.

However, first of all, we would like to briefly set the stage. San Francisco State University is a medium-sized, urban, institution which offers a wide variety of programs at both the B.A. and M.A. levels. One centralized facility provides library services to the University. The library has a collection of more than 650,000 volumes, substantial periodical and microprint collections and more than half a million items in its Government Publications unit. Of the approximately 100 staff, 30 are librarians. The professional staff is for the most part at mid-career, and a number have not worked at other academic institutions. However, the librarians are knowledgeable about professional trends and are willing to deal with technological change and innovation in service delivery. For example, high quality, comprehensive library user education has been in place for some time, a substantial number of individuals participate in online literature searching, staff support for a move to an online catalog is high, and computer-related applications, such as word processing have widespread acceptance. The library, if not on the cutting edge of the profession, is at least in the mainstream.

San Francisco State has had a history of proactive and forceful intervention in matters of institutional governance. Library professionals, who have academic status, have been very much a part of this tradition, assuming a major role in the decision-making process in the University's Academic Senate, as well as within the library itself. At times in the past, the desire to participate actively in the process has generated conflict, particularly when it ran counter to the more bureaucratic, hierarchical managerial style of some library administrators. More recently, there has been a marked decline in this kind of confrontation and staff energy, which used to be directed to support the tension of such conflict, has been channeled into more productive activity.

Implementation of an alternative organizational structure in the library thus offered both hazards and possibilities, and any organizational changes needed to be tailored to the specific situation. Earlier in this paper, we outlined theoretical considerations of matrix organization; however, to say that at the beginning we consciously thought out a matrix model and then set it in place would be inaccurate. It was much more an evolutionary process.

Several years ago, the library director and several key staff members began to explore ways of increasing organizational effectiveness, particularly in reference services and collection development. As a result of these discussions, it was decided to transfer the collection development function to the library's Readers Services Division and to distribute materials selection and management responsibilities to an expanded reference services staff. This shift would entail a significant revision in job descriptions for more than 60% of all librarians in the total organization. Concurrent with the task issues, attention was also focused on an analysis of the library's organizational climate--both out of real concern for improving the general quality of the working environment within the Division and as a means of ensuring acceptance of a major change in job assignment. A number of factors were identified: a need for reduction in bureaucracy, a need for broader distribution of leadership and management functions, increased job satisfaction, the opportunity for more professional growth, increased vertical and horizontal communication and a greater emphasis on cooperative approaches to problem solving. The question, then, was how to realize change. The options for solution were twofold--either within the existing organizational framework or through the creation of some new structure more amenable to both task and environmental concerns.

An assessment of the organizational climate within the library as these exploratory discussions were concluding led to the adoption of the second option. Three important characteristics of the professional staff have been, first, acceptance of change and willingness to deal with its consequences, secondly, a strong desire to participate in the decision-making process and, third, a willingness to implement decisions once a consensus has been achieved. This flexibility of staff was a key factor in moving toward reorganization. The resignation of a library administrator was another important factor and provided the opportunity to reallocate and augment existing divisional staff resources to implement the transition. Finally, the third and most important factor was administrative support for change. This was an indispensible element--without long term support from the director and her administrative colleagues, there would have been no chance for success.

Once the decision was made to make a change in the way the Readers Services Division of the library functioned, it was necessary to develop a strategy for creating and carrying out reorganization. This was done by the creation of a task force which was comprised of important division staff--both formal and informal leaders. The task force was asked to review the division's goals and objectives and recommend a structure for addressing both the division's reorganization and those environmental considerations identified in earlier discussion with the director. Input to the task force came from a variety of sources. A regular interchange of ideas between task force and director and other administrators also took place to ensure that all parties involved in the process shared a common understanding of issues and solutions. In essence, consensus was achieved by everyone before the recommendations were formally submitted to the director for review. As a result, there were no real stumbling blocks or resistance to implementation of the plan.

The major assignment to the task force was to formulate a design for implementing the matrix concept. In order to do this, the task force developed position statements for librarians and program coordinators, who are the managers of the various services provided by the division. They also drew up selection procedures for coordinators, established guidelines for staff time allocations, and recommended procedures for timely evaluation and review of the design.

An especially difficult task for the group was to explain the complex relationships of each librarian to the work of the division and to one another. The table in figure 3 defines those relationships.

Figure 3

"Multi-Boss" Interactions

An Inventory of Possible Reporting Relationships for Librarians within the Readers Services Division

As a Librarian

- Interaction with peers and program coordinators for planning and implementation of several specific division-wide programs.
- Interaction with division head who is the immediate (line) supervisor.

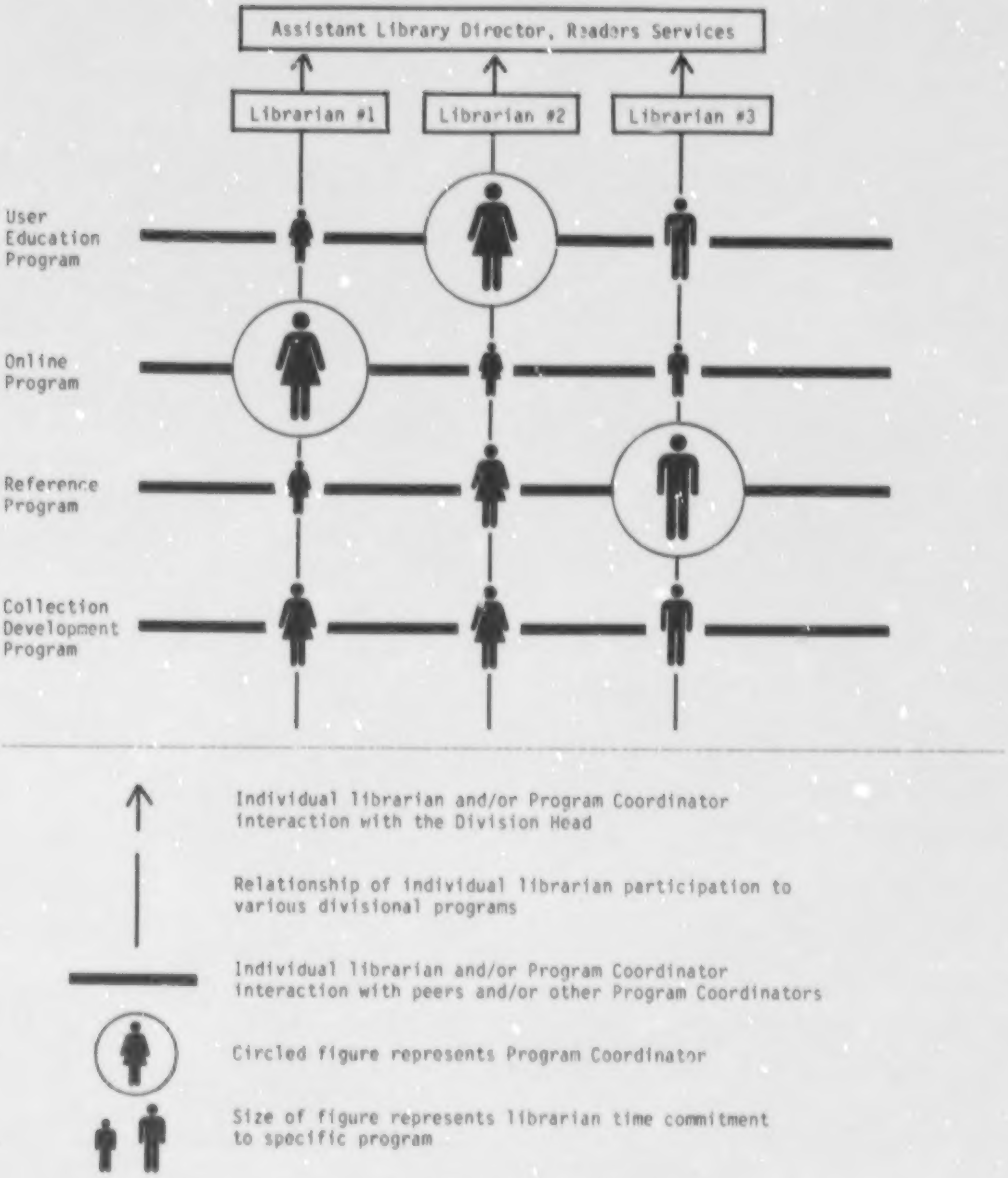
As a Librarian who also serves as a Program Coordinator

- Interaction with peers in a collegial (non-supervisorial) leadership mode to plan and implement a specific program.
- Interaction with division head who is the immediate (line) supervisor and who is ultimately held responsible for the success of that program.
- Interaction with peers and program coordinators for planning and implementation of other division-wide programs.

Figure 4 schematically depicts the complex network characteristics of the matrix as it was envisioned by the task force. In fact, this figure is an accurate depiction of what evolved and represents a "slice" of the organizational chart of the division.

Figure 4

A Schematic of Matrix Organization
for the Readers Services Division of the
San Francisco State University


Assistant Library Director, Readers Services
Librarian #1
Librarian #2
Librarian #3
User Education Program
Online Program
Reference Program
Collection Development Program
Individual librarian and/or Program Coordinator interaction with the Division Head
Relationship of individual librarian participation to various divisional programs
Individual librarian and/or Program Coordinator interaction with peers and/or other Program Coordinators
Circled figure represents Program Coordinator
Size of figure represents librarian time commitment to specific program

As one can see from Figures 3 and 4, librarians who have the responsibility for coordinating programs, but who have no direct line authority, must work together with colleagues in planning and executing these programs. Therefore, it becomes imperative that everyone participating in a particular program be willing to work in true cooperative fashion to establsih consensus. So far, this has been pretty much the case. Staff feedback tends to support our belief that an environment for fruitful interaction has evolved between administration and staff, and throughout the organization energy is focused on shared accomplishments rather than dissipated in role playing and negativism.

The concept of matrix as it evolved at San Francisco State was a combination of administrative inout and task force deliberation. The interchange of ideas and joint planning efforts was in itself a mini-version of matrix management. If a similar experiment were tried at another institution, the resulting model would probably be somewhat different. However, certain characteristics would be similar--responsibility for program planning and execution moved down to the lowest appropriate level, strong collegial interaction in decision making, staff working closely with several coordinators to carry out the division's programs.

Matrix organization resulted in changes in position responsibilities, reporting structures and patterns of interpersonal communication. For all staff there were major readjustments of work patterns to accommodate new assignments and to acquire new work skills. Several months after reorganization, the library was required to make substantive program cuts because of a major (12%) reduction in personnel. Recommendations for cuts in Readers Services were developed through the planning mechanism of the matrix system. The magnitude of the budget cuts could have raised a serious impediment to further progress in incorporating the matrix model into the organization since this type of structure makes strong demands on staff time. However, the temptation to revert to a more tightly structured environment in order to conserve funds was resisted and administrative support has continued at a high level.

We would like to believe that the division's ability to cope with reorganization, the general turmoil of change and cutbacks while providing a high level of service to library users is due, at least in part, to the strengths of matrix management. There has been acceptance of the model and a real commitment to make it work on the part of all concerned.

THE FUTURE OF MATRIX

Leaving the immediate and practical, and returning to the more theoretical, we must ask: what is the future for matrix structure in organizations, especially in libraries? Matrix management, recall, is a relatively new concept, still in the experimental and descriptive stages. It has developed from the earlier idea of temporary project management. It is likely that matrix is only an early phase in the development of a new organizational concept, network management, from which many variant forms may yet develop. The need for network management seems obvious, and, in fact, network forms are all around us, operating as task forces, committees and staff positions. The concept of the "generic librarian," who performs a variety of library functions, is gaining currency in quality of worklife literature. Matrix is one formalized structure which accommodates both diversification of responsibilities and the need for some modicum of hierarchical control.

Up to the present, most attention regarding matrix--or network--organization has focused on organizational effectiveness and productivity. Matrix has been promoted as a solution to the need for greater communication and coordination. It is our belief that alternative organizational structures can have a major role in meeting increasingly commonly-held individual expectations for closer identification with the workplace and for satisfaction with one's contribution to it. In a time of declining job mobility and fixed resources, helping to fulfill these expectations may well prove to be the most important contribution which matrix makes to organizational effectiveness.

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THE INFLUENCE OF SELECTED VARIABLES ON ATTITUDES OF CLASSROOM INSTRUCTORS TOWARD THE UNDERGRADUATE EDUCATIONAL ROLE OF THE ACADEMIC LIBRARY

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Abstract. This paper results from a study that had several objectives. The first and most important objective of the study was to develop an attitude scale with acceptable validity and reliability for the identification and depiction of attitudes of undergraduate classroom instructors toward the role of the academic library in undergraduate education. The availability of such an attitude scale could be widely useful in developing a better understanding of these attitudes to persons desirous of predicting and changing them. A second objective was to examine through factor analysis the possible clusters of attitudes that constitute the library educational attitudes measured by this attitude scale. The third objective of this study was to use the attitude scale developed to examine the relationship between the attitudes measured and such academic and demographic variables among classroom instructors as age, tenure status, discipline, academic rank, sex, highest degree, institution awarding highest degree, and teaching experience. The purpose of this objective was to gain improved understanding of relationships between these variables and the attitudes measured concerning the academic library. It is primarily the results of achieving this third objective that are reported in this paper.

Keywords and Phrases. Attitude Scale. Classroom Instructors. Earlham College. Library Educational Attitudes. Purdue University. Undergraduate Education. University of Evansville.

INTRODUCTION

The acquisition of books and related materials for American academic libraries during the past century has been nothing short of phenomenal. Particularly since the end of World War II, millions of dollars annually have been spent in the development and service of huge academic library collections. Despite this expenditure of funds, a large percent of the materials receive little or no use, and a large percent of the students neither use nor know how to use the materials.

Librarians, students, and academic administrators alike may support the acquisition of library materials for instructional and research needs. They also may support the acquisition of these materials for other reasons, such as psychological needs relating to status and prestige. Librarians may discourage use of the materials though the way they administer the academic library; students may not have the ability or the motivation to use the academic library; and academic administrators may not provide conditions, such as courses with small enrollments, conducive to the use of materials of the academic library. Nevertheless, classroom instructors are probably the dominant group in both determining the amount and type of library materials acquired and the amount and type of student use of library materials.

Little empirical research has been conducted to determine why many classroom instructors support the acquisition of large amounts of library materials, but at the same time, many classroom instructors do not support extensive student use of these materials. Little is known of the dimensions of their attitudes toward the undergraduate educational role of the academic library--who influences their attitudes; how their attitudes develop and change; how their attitudes may vary from discipline to discipline; how their attitudes toward student library use may vary from individual to individual within the same discipline and institution; or even how a single instructor's attitudes may vary from course to course.

The acquisition and support of large collections for academic libraries are becoming increasingly difficult at a time of general economic retrenchment in higher education. The relatively lack of use of the materials[1,2] and the limited success of programs designed to increase their use[3] calls into question the educational value of these collections in relation to their economic costs. The classroom instructor plays a key role in the development and use of the academic library. Therefore, if librarians, classroom instructors, students, and academic administrators want to enhance the role of the academic library in the educational process, they need a good understanding of the attitudes of classroom instructors toward the undergraduate educational role of the academic library.

OBJECTIVES

This paper results from a study that had several objectives. The first and most important objective was to develop an attitude scale with acceptable validity and reliability for the identification and depiction of attitudes of undergraduate classroom instructors toward the role of the academic library in undergraduate education. The availability of such an attitude scale could be widely useful in developing a better understanding of these attitudes to persons desirous of predicting and changing them. A second objective was to examine through factor analysis the possible clusters of attitudes that constitute the library educational attitudes measured by this attitude scale.

The third objective of this study was to use the attitude scale developed to examine the relationship between the attitudes measured and such academic and demographic variables among classroom instructors as age, tenure status, discipline, academic rank, sex, highest degree, institution awarding highest degree, and teaching experience. The purpose of this objective was to gain improved understanding of relationships between these variables and the attitudes measured concerning the academic library. It is primarily the results of achieving this third objective that are reported in this paper.

METHODOLOGY

The six procedures used in completion of this study are as follows: 1) selection and development of appropriate definitions of terms used; 2) formulation and selection of relevant criteria for attitude scale construction; 3) construction of the attitude scale through review of the literature, personal experience, and interviews of appropriate individuals; 4) refinement of the attitude scale through use of judges and pilot testing; 5) field testing of the attitude scale; and 6) organizing, analyzing, and interpreting the field-test data. The first five procedures will be summarized in this paper. The sixth procedure will be described in some detail as it relates to variables of undergraduate classroom instructors included in this study.

Interviews with undergraduate classroom instructors and academic librarians provided the majority of attitude statements. A semi-structured interview guide was developed and used to interview forty classroom instructors and seven librarians at seven colleges and universities in the Midwest. The instructors represented the broad discipline areas of the humanities, the social sciences, and the sciences. The institutions selected were two large research universities, two medium-sized universities, one small comprehensive university, and two small liberal arts colleges.

From these interviews 130 attitude statements were originally written. Repetitious and ambiguous statements were then deleted until ninety statements remained. Six classroom instructors and six academic librarians knowledgeable in the area of educational attitudes then judged the ninety attitude statements and provided criterion groups for validity purposes. From the responses of these twelve judges, the number of attitude statements were reduced to seventy. After further refinements, six academic librarians judged the attitude statements a second time. From their responses, the number of attitude statements were further reduced to sixty.

The sixty attitude statements were pilot tested by having the forty-seven individuals interviewed respond to the attitude scale, and forty-five of the forty-seven returned usable forms. Twenty-nine attitude statements were selected after analysis, and they were modified slightly based both on the responses and on the suggestions of four colleagues at DePauw University who reviewed the final statements. The final thirty attitude statements fit into all but two of the categories as classified by the first twelve judges and could be traced back to the ninety attitude statements submitted to them. The final scale had fifteen positive statements and fifteen negative statements on a seven-point Likert scale.

Four schools in the state of Indiana were selected to field test the final attitude scale. Earlham College was selected because of its reputation as a small liberal arts college where the academic library is extensively used in undergraduate education. The biological science faculty at Purdue University was selected because of the judgements of the six academic librarians and six classroom instructors who provided criterion groups that science classroom instructors from research universities are least supportive of an active role of the academic library in undergraduate education. For validity purposes, it was hypothesized that the Earlham classroom instructors would be most positive and the Purdue biological science instructors least positive toward the role of the academic library in undergraduate education.

The classroom instructors at Wabash College and the University of Evansville were included for several reasons. First, for validity purposes, it was hypothesized that the classroom instructors at these two schools would express attitudes somewhere between those expressed by the classroom instructors at Earlham College and those expressed by the biological science classroom instructors at Purdue University. Second, they were included to assure a sufficient number of classroom instructors for an accurate analysis of the responses to the attitude scale. Finally, the classroom instructors at these two particular schools were included because of the likelihood of obtaining a high rate of return from them.

The method of distribution and collection of the attitude scale varied slightly from school to school but not in such a manner as to influence adversely the pattern of responses. At each school, a member of the local academic community wrote a cover letter. At Wabash College and the University of Evansville, the library directors supervised the collection of the completed attitude scales. At Earlham

College and Purdue University, the classroom instructors returned the completed attitude scales directly to the researcher through the mail. Slightly more than eighty percent of the 292 eligible classroom instructors returned usable attitude scales, and the results were then analyzed.

RESULTS

For the 234 respondents, the attitude scale has a Cronbach alpha of .79 and a standard error of measurement of eight. Since the field test consisted of applying the attitude scale to classroom instructors from several institutions, the Cronbach alpha could be slightly higher than when the attitute scale is used at only one institution. This measure does indicate a moderately high internal consistency, which means that the attitude statements do measure something in common. For anticipated uses of this attitude scale, the level of reliability is quite adequate.

Other psychometric characteristics of the attitude scale involving validity were satisfied through the method of attitude scale construction. Further discussions of content validity, criterion-related validity, and construct validity are provided elsewhere.[4] Further efforts needed to improve reliability and validity through a second field test would not be justified by the anticipated modest benefits.

As indicated earlier in this paper, reported here are the results of the examination of any relationships between the attitudes measured and selected academic and demographic variables of the classroom instructors. As expected, the demographic variable of age is highly related to the academic variables of total years of teaching, total years of teaching at present institution, academic rank, and tenure status, and these variables are highly related to each other, as indicated by Table 1. The null hypothesis of no significant differences among the mean total scores when the respondents were grouped by these variables could not be rejected at the .01 level of significance (see Tables 2, 3, 4, and 5). The demographic variable of sex also did not prove significant at the .01 level (degrees of freedom: 231; two-tailed probability: .06).

As expected, the null hypothesis that no differences existed in the mean total score between those instructors with masters degrees and those with doctoral degrees as their highest degree could not be rejected at the .01 level of confidence (degrees of freedom: 228; two-tailed probability: .936). The two groups of schools with the largest number of classroom instructors receiving their highest degree from them in this study are Big Ten schools (eighty-one instructors) and Ivy League schools (thirty-six instructors). A two-tailed T-TEST revealed that the null hypothesis of no significant difference between the mean total attitude scale score of graduates of the two groups of schools could not be rejected at the .01 level (degrees of freedom: 115; two-tailed probability: .26). Nor was there any significant relationship between the region of the country (West, Northeast, etc.) where the instructors received their highest degree and their scores on the attitude scale (see Table 6).

On variable of particular interest in this study is the variable of discipline. Ladd and Lipset in their major work, The Divided Academy, wrote:

> Within the university, a discipline's subject matter requires a bundle of professional work experiences, defines the groups and interests which serve as points of reference and association, and seems to attract people of a particular value orientation; together these factors contribute to the formation of distinctive discipline subcultures.[5]

Therefore, it can be hypothesized reasonably that library educational attitudes would vary according to academic discipline.

As indicated by Table 7, the null hypothesis that no significant differences exist among the mean attitude scores of the four general disciplines of humanities, social sciences, fine arts, and sciences cannot be rejected at the .01 level of significance, but it can be rejected at the .05 level. Further analysis using the Scheffe's test of a posteriori at the .1 level revealed a significant difference between the mean total scores of the classroom instructors in the sciences and those in the humanities (see Table 8).

The second variable of particular interest in this study is the variable of school. Given information from the literature and the categories provided by the judges, a reasonable hypothesis was that differences in library educational attitudes would exist among the instructors according to school. The null hypothesis that no significant differences exist among the mean total attitude scale scores among the instructors when grouped by the four schools can be rejected at the .01 level of significance (see Table 9). Table 10 displays the mean scores and their standard deviations among the four schools. Again, the Scheffe's test of a posteriori at the .1 level of significance was used for this comparison.

The classroom instructors at Earlham College have a significantly higher mean total score than the classroom instructors from the other three schools, and the classroom instructors from Purdue University have a significantly lower mean total score than the classroom instructors from the other three schools. There is no

TABLE 1

CORRELATION MATRIX AMONG SELECTED VARIABLES

Variable	Age	Total Years Teaching	Total Years Teaching at Present Institution	Academic Rank	Tenure Status*
Age		.88	.81	.70	.58
Total Years Teaching	.88		.88	.72	.59
Total Years Teaching at Present Institution	.81	.88		.72	.65
Academic Rank	.70	.72	.72		.68
*Tenure Status	.58	.59	.65	.68	

*Tenure status recoded so the correlation is positive

TABLE 2

ANOVA SUMMARY TABLE FOR A COMPARISON OF MEAN TOTAL ATTITUDE SCALE SCORES AMONG CLASSROOM INSTRUCTORS BY AGE

Source	Degrees of Freedom	Sum of Squares	Mean Squares	F Ratio	F Probability
Between Groups	2	78.41	39.21	.13	.88
Among Groups	222	69,538.97	313.24		
Total	224	69,617.38			

TABLE 3

ANOVA SUMMARY TABLE FOR A COMPARISON OF MEAN TOTAL ATTITUDE SCALE SCORES AMONG ACADEMIC RANKS*

Source	Degrees of Freedom	Sum of Squares	Mean Squares	F Ratio	F Probability
Between Groups	2	502.5	251.3	.825	.44
Within Groups	230	70,019.8	304.4		
Total	232	70,522.3			

*Instructor and assistant professor ranks are combined

TABLE 4

ANOVA SUMMARY TABLE FOR A COMPARISON OF MEAN TOTAL ATTITUDE SCALE SCORES BETWEEN TENURE WITHIN SCHOOLS

Source	Degrees of Freedom	Sum of Squares	Mean Squares	F Ratio	F Probability
Main Effects	4	11,848.10	2,962.02	11.60	.00
School	3	11,761.38	3,920.46	15.36	.00
Tenure	1	21.85	21.85	.09	.77
Interaction	3	1,983.21	661.07	2.59	.054
Residual	215	54,869.51	255.207		
Total	222	68,700.81	309.46		

TABLE 5

*PEARSON CORRELATIONS BETWEEN NUMBER OF YEARS TAUGHT AT PRESENT INSTITUTION AND MEAN TOTAL ATTITUDE SCALE SCORE

School	Correlation	Significance	Number
Earlham	.05	.68	65
Evansville	-.30	.01	74
Purdue	.41	.035	27
Wabash	.09	.57	46
Total	-.02	.77	212

TABLE 6

ANOVA SUMMARY TABLE FOR A COMPARISON OF MEAN TOTAL ATTITUDE SCALE SCORES AMONG SOURCE OF HIGHEST DEGREE BY REGION

Source	Degrees of Freedom	Sum of Squares	Mean Squares	F Ratio	F Probability
Between Groups	4	360.12	90.03	.29	.88
Within Groups	226	69,716.39	308.48		
Total	230	70,076.51			

TABLE 7

ANOVA SUMMARY TABLE FOR A COMPARISON OF MEAN TOTAL ATTITUDE SCALE SCORE AMONG DISCIPLINES

Source	Degrees of Freedom	Sum of Squares	Mean Squares	F Ratio	F Probability
Between Groups	3	3,117.90	1,039.30	3.5	.015
Within Groups	229	67,404.39	294.34		
Total	232	70,522.30			

TABLE 8

DIFFERENCES OF MEAN TOTAL ATTITUDE SCALE SCORES AMONG DISCIPLINES

Disciplines	Mean and Standard Deviation	Fine Arts	Humanities	Sciences	Social Sciences
Fine Arts	136.5 (13.3)				
Humanities	144.1 (15.3)			*	
Sciences	136.4 (19.2)		*		
Social Sciences	143.3 (18.5)				

*Denotes disciplines significantly different at .1 level

TABLE 9

ANOVA SUMMARY TABLE FOR A COMPARISON OF MEAN TOTAL ATTITUDE SCALE SCORES AMONG SCHOOLS

Source	Degrees of Freedom	Sum of Squares	Mean Squares	F Ratio	F Probability
Between Groups	3	11,815.03	3,938.35	15.4	.00
Within Groups	230	58,834.06	255.80		
Total	233	70,649.18			

TABLE 10

DIFFERENCES OF MEAN TOTAL ATTITUDE SCALE SCORES
AMONG SCHOOLS

School	Mean and Standard Deviation	Earlham	Evansville	Purdue	Wabash
Earlham	149.20 (16.2)		*	*	*
Evansville	137.18 (16.7)	*		*	
Purdue	126.38 (17.3)	*	*		*
Wabash	140.91 (13.8)	*		*	

*Denotes schools significantly different at the .1 level

significant difference between the mean total scores of the Evansville and Wabash classroom instructors, but both are significantly higher than the Purdue University scores and significantly lower than the Earlham College scores. These results were not unexpected.

A two-way analysis of variance using school and discipline as independent variables, however, does not support the hypothesis that the classroom instructors differ on the attitude scale according to discipline. Table 11 displays the results of this analysis. The joint additive effect of the variables of school and discipline is significant, as is the main effect of school. The main effect of discipline and the interaction of school and discipline, however, are both insignificant. From this analysis, both the null hypothesis that there is no significant difference in the means of the attitude scale total score among the disciplines and that there is no significant difference in the means of the attitude scale total score among the disciplines within each school cannot be rejected at the .01 level of significance. Table 12 displays the mean and standard deviations for each discipline within the schools. A Scheffe's test at the .1 level confirmed the findings of the two-way analysis that mean total scores do not differ significantly by discipline within schools. Stated another way, there are more differences within the disciplines than among the disciplines. There were, however, more differences among the schools than within the schools.

CONCLUSIONS

These findings suggest that the "norms" or the "educational atmosphere" of a school may be highly important in shaping or determining the attitudes of classroom instructors toward the undergraduate educational role of the academic library. This conclusions does not totally discount the influence of other variables on classroom instructors, but the other variables included in this study did not prove meaningful among the instructors included in this study.

Observations made during earlier visits to Earlham College and during the interviews conducted there supported the conclusion that part of the norms at that institution is the extensive use of the academic library in undergraduate teaching. Such norms did not exist at any of the other schools visited or surveyed, and it can only be speculated on how such norms became established at Earlham College.

Certain conclusions can be reached concerning the library educational attitudes of classroom instructors at other schools included in this study. First, most of the classroom instructors presented evidence of working hard to fulfill their teaching responsibilities. Sometimes the same classroom instructor who stated that student use of the library demanded too much of his or her time also provided evidence that they spent considerable time using other teaching methods. Second, a number of classroom instructors interviewed at the other schools appear to hold attitudes just as supportive of the academic library as those attitudes expressed by most of the Earlham College classroom instructors.

There are, however, several differences between the Earlham College instructors and the instructors interviewed at the other schools. The most obvious difference was that the classroom instructors at the other schools seemed more isolated from each other than did the Earlham instructors. Seldom did they allude to discussions with their colleagues concerning teaching practices and philosophies. They appeared to have formed their educational attitudes more through observation and reflection than through extensive discussions with their colleagues. Certainly they appeared to be less sharing of their classrooms with their colleagues through team-teaching and interdisciplinary-teaching than had been evident at Earlham.

Some classroom instructors interviewed obviously had not given much thought to certain aspects of undergraduate student use of the

TABLE 11

ANOVA SUMMARY TABLE FOR A COMPARISON OF MEAN TOTAL ATTITUDE SCALE SCORES AMONG SCHOOLS AND DISCIPLINES

Source	Degrees of Freedom	Sum of Squares	Mean Squares	F Ratio	F Probability
Main Effects	6	12,615.74	2,102.62	8.3	.00
School	3	9,497.98	3,165.99	12.6	.00
Discipline	3	783.21	261.07	1.04	.38
Interaction	6	2,463.94	410.66	1.6	.14
Residual	220	55,442.48	252.01		
Total	232	70,522.16	303.96		

TABLE 12

MEAN AND STANDARD DEVIATION OF TOTAL ATTITUDE SCALE SCORES AMONG DISCIPLINES WITHIN SCHOOLS

School Discipline	Mean	Standard Deviation	Number of Respondents
Earlham	149.2	16.2	68
Fine Arts	142.0	11.9	7
Humanities	146.8	16.5	29
Sciences	155.8	16.5	18
Social Sciences	149.3	15.7	14
Evansville	137.2	16.7	80
Fine Arts	133.7	14.2	17
Humanities	141.6	13.5	23
Sciences	130.1	13.5	16
Social Sciences	140.1	21.3	24
Purdue	126.4	17.3	29
Sciences	126.4	17.3	29
Wabash	141.1	13.8	57
Fine Arts	138.0	11.3	6
Humanities	143.4	15.4	25
Sciences	138.9	13.5	17
Social Sciences	141.0	11.7	8
No Indication			1
Total	140.24	16.0	234

academic library. They responded only in the briefest manner to some questions, and some of their statements proved to be ambiguous, confusing, or meaningless to other classroom instructors. An attempt was made to retain the original language of the instructors in the attitude statements, but after the reviews and pilot test several of the statements had to be revised extensively. This, also, probably reflects the lack of discussion among classroom instructors of the undergraduate educational role of the academic library.

It appeared doubtful that some of the classroom instructors had ever tested their attitudes toward the academic library in discussions with others. Only those instructors particularly supportive of undergraduate student use of the academic library seemed aware of this isolation from their colleagues. Several of them indicated that they were the only one in their department trying to have their students make extensive use of the library.

For some areas, useful attitude statements could not be obtained from the interviews. Most of the classroom instructors interviewed seemed unable to express well-defined attitudes about the types of materials needed for undergraduate education and how these materials may differ from those needed for graduate students. Most of the classroom instructors interviewed appeared not to have given much thought to the physical characteristics of the academic library, such as the availability of certain types of study areas and access to the collections. Only the Earlham College instructors could clearly articulate a role for college administrators in undergraduate student use of the academic library.

The findings of this study have important implications. Even though the academic library is part of probably every institution of higher education, and it would seem that few classroom instructors could avoid at least some contact with it, many classroom instructors apparently have had limited contact with certain ideas and attitudes concerning the undergraduate educational role of the academic library. These classroom instructors may not have any clearly defined attitudes concerning the undergraduate educational role of the academic library.

In one sense, academic librarians can take some encouragement from this conclusion. At least, they do not have to overcome deeply held negative attitudes toward the academic library. They may find it easier to encourage the development of positive attitudes when no clearly defined attitudes previously exist than to encourage the development of positive attitudes when negative attitudes previously exist.

In addition, this study provides evidence that the library educational attitudes of classroom instructors are more highly influenced by conditions at each school than by previous experience. If, in fact, the traditions, policies, and norms of a school highly influence the library educational attitudes of classroom instructors, as this study suggests, academic librarians probably have more opportunity to influence these attitudes than if the attitudes had been largely shaped by previous experiences. One method now available for influencing library educational attitudes is through use of this attitude scale to facilitate discussions among members of the academic community in order to further understanding of the various attitudes and lack of clearly defined attitudes toward the role of the academic library in undergraduate education.

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A SCALE TO MEASURE THE ATTITUDES OF CLASSROOM INSTRUCTORS TOWARD THE ROLE OF THE ACADEMIC LIBRARY IN UNDERGRADUATE EDUCATION

Directions

The academic library is an important part of every college and university. Nevertheless, considerable evidence exists that many undergraduate students neither use nor know how to the academic library. Also, considerable evidence exists that a large portion of the materials acquired for the academic library is seldom used.

The role of the academic library may be influenced by a number of factors, such as the purpose of the college or university, the size and type of collections available, the accessibility of the collections, the study conditions available, and the attitudes and ability of students, librarians, administrators, and classroom instructors. Many researchers consider classroom instructors to play the dominant role in determining undergraduate student use of the academic library. This scale seeks to identify the attitudes that classroom instructors hold toward the educational role of the academic library at the undergraduate level.

Please read each of the statements carefully and for each one indicate your answer. Your response should reflect your attitude as a result of your experiences in teaching undergraduate students in your discipline.

Your should indicate your choice by circling one of the seven choices allowing the expression of attitudes from strong agreement to strong disagreement.

Circle AAA, if you strongly agree
Circle AA, if you moderately agree
Circle A, if you slightly agree
Circle U, if you are undecided
Circle D, if you slightly disagree
Circle DD, if you moderately disagree
Circle DDD, if you strongly disagree

EXAMPLE ONE

Academic librarians should be less concerned with rules and regulations in order to encourage students to use the library.

AAA AA [✓ A] U D DD DDD

If you agree with this statement slightly, you should circle "A," as shown.

EXAMPLE TWO

It should be the role of the classroom instructor, not librarians, to teach students how to use the library.

AAA AA A U D [✓ DD] DDD

If you disagree with this statement moderately, you should circle "DD," as shown.

Make sure that you circle a symbol for each statement. Leave none of the items blank and make only one circle for each item. In some cases, you may believe you do not know how to judge a statement. When this occurs, please make the best estimate of your attitude you can or circle "U" for undecided. You should not spend more than a few seconds on each item.

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PLEASE COMPLETE THE FOLLOWING INFORMATION BEFORE PROCEEDING TO THE FIRST ITEM.

1) Name: ______________________________ 2) Institution: ______________________________

3) Rank: ___Instructor; ___Assistant Professor; ___Associate Professor; ___Professor;

___Other (specify) ______________________________

4) Academic Department: ______________________________

5) Your Highest Degree: ___Masters; ___Doctorate; ___Other (specify)______________

6) Institution Awarding Your Highest Degree: ______________________________

7) Total Number of Years Teaching at Present Institution: ______________________

8) Total Number of Years Teaching in Higher Education: ______________________

9) Tenure Status: ___Tenured; ___Untenured 10) Sex: ___Male; ___Female

11) Age: ___Under 26; ___26-30; ___31-35; ___36-40; ___41-45; ___46-50; ___51-55; ___56-60;

___61-65; ___Over 65

PLEASE PROCEED TO THE FIRST ITEM

A SCALE TO MEASURE ATTITUDES OF CLASSROOM INSTRUCTORS TOWARD THE ROLE OF THE ACADEMIC LIBRARY IN UNDERGRADUATE EDUCATION

1. Teaching additional content in my lower-level courses should be more important than spending time teaching my students how to use the library.

   AAA AA A U D DD DDD

2. I should expect only my brightest students to make good use of the library collections.

   AAA AA A U D DD DDD

3. A knowledge of how to use the card catalog should be sufficient familiarity with the library for students to use it for my courses.

   AAA AA A U D DD DDD

4. I should help my students develop the ability to use the literature of my discipline available in the library.

   AAA AA A U D DD DDD

5. Assignments requiring students to use the library demand too much of my time in relation to my other responsibilities.

   AAA AA A U D DD DDD

6. My students should have specific instructions on how to use the library in each course in which I require its use.

   AAA AA A U D DD DDD

7. It should take considerable time for students to master the skills needed to use the library for my courses.

   AAA AA A U D DD DDD

8. Administrators should promote the view that librarians are full partners with me in the educational process.

   AAA AA A U D DD DDD

9. I should be familiar with the range of library resources useful in teaching my students.

   AAA AA A U D DD DDD

10. For students in my courses, the library should be considered primarily as a place to study textbooks, lecture notes, and similar materials.

AAA AA A U D DD DDD

11. Administrators should take a leadership role in encouraging student use of the library.

AAA AA A U D DD DDD

12. I should develop an interesting problem or quest to introduce my students to the library.

AAA AA A U D DD DDD

13. The size of the library collections in my discipline should serve as a measure of how well the library will serve the needs of my students.

AAA AA A U D DD DDD

14. I should have the main responsibility for ensuring that my students make good use of the library.

AAA AA A U D DD DDD

15. Librarians should have advanced degrees in other disciplines in addition to a degree in library science if they are to help students use the library.

AAA AA A U D DD DDD

16. My students should use the library to learn how scholars examine major works and ideas in my discipline.

AAA AA A U D DD DDD

17. Teaching additional content in my upper-level courses should be more important than spending time teaching my students how to use the library.

AAA AA A U D DD DDD

18. I should be better prepared to teach students how to make good use of the library.

AAA AA A U D DD DDD

19. The library should be quiet to encourage my students to use it.

AAA AA A U D DD DDD

20. I should evaluate the library assignments of my students on the same basis as any other assignments for my courses.

AAA AA A U D DD DDD

21. The small college library should satisfy the library needs of my undergraduate students just as adequately as the large university library.

AAA AA A U D DD DDD

22. It should reflect poorly on my department if the library is not heavily used by students in our courses.

AAA AA A U D DD DDD

23. I should be concerned if the library collection in my discipline is little used.

AAA AA A U D DD DDD

24. Administrators should ensure small classes to encourage me to require my students to use the library.

AAA AA A U D DD DDD

25. Student frustration in using the library should be considered a normal part of learning how to use the library.

AAA AA A U D DD DDD

26. Librarians should help me by teaching my students how to use the library.

AAA AA A U D DD DDD

27. Students should be able to learn needed library skills in my discipline quickly and independently.

AAA AA A U D DD DDD

28. Administrators should seek to admit a high proportion of very capable students if they want me to require my students to use the library.

AAA AA A U D DD DDD

29. I should be able to leave to librarians the responsibility of teaching students how to use the library.

AAA AA A U D DD DDD

30. Being surrounded by books in the library should have a positive influence on students whether they use them or not.

AAA AA A U D DD DDD

___Please check here if you want a summary of the results of this study.

Please feel free to make any comments concerning this study.

Thank you for your cooperation

Larry Hardesty
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LIBRARIES IN LEARNING RESOURCE SERVICES: HAS THE CORNERSTONE BECOME JUST ANOTHER BLOCK IN THE FOUNDATION?

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Abstract. This paper reviews the development of the Learning Resource Services (LRS) program in community colleges including their philosophical justification and consequent organizational pattern. Although excellent library services in community colleges resulted from the adoption of the LRS concept, problems now are surfacing. A survey performed for this paper indicates that LRS programs have grown to include, besides library and audiovisual services, an average of over four-and-a-half additional support services. The implications for library programs and budgets as a result of this growth in LRS is discussed. Suggestions for mitigating potential harm to library programs are made.

Over 18 years ago, James Thornton wrote that community colleges had "traversed the trials of infancy and adolescence" and that in their "maturity...must accept the obligation to strive for excellence at every level."[1] This statement is no less true in 1984. The Learning Resource Services (LRS) concept of combining library, audiovisual, and related services into one program has been a major component of the community college quest for excellence. Indeed, community colleges have led the higher education community by offering creative and effective support of instruction through their renamed library services. No vine-covered traditions or staid perceptions impeded development of this new type of library. Philosophical reorganization led to a structure in which librarians could cast off their old limitations and expand to meet the challenge of a new role in education. Today, the concept of Learning Resource Services is almost universally accepted in community colleges as the best way to provide library services support.

But is it the best way? Or do problems exist with the concept and philosophy of LRS, problems which do great harm to library services--the cornerstone of an LRS program?

LRS programs were organized during the community college growth period of the late 50's and 60's. Following Sputnik I in 1957, the American educational system was held to blame for the Russians sudden lead in technology. In response, a tremendous amount of money was funneled into school systems, colleges, universities, and thus, libraries. This support of education lasted through the Great Society years of Lyndon Johnson and into the early 1970s. It was during this period that many community colleges began working toward becoming viable, accreditable institutions of higher education.

Community colleges correctly perceived that their students, whose learning skills were often below their college and university counterparts, had special educational needs. To progress, these students needed innovative teaching strategies. In addition, the growing student population required new approaches to instruction.[2] Demand was placed on libraries to support changing instructional theory.

One of the new instructional techniques was the use of audiovisual materials in the classroom. And indeed, shortly after their introduction, audiovisual materials were hailed as the best new teaching technique since the blackboard. This new technique, and the films, slides, and tapes to support it became the special province of community colleges, which were young, unafraid, and flexible enough to try a fresh approach to education.

But where to put all this software, as it became known, and the equipment, or hardware, required for its use? Some colleges and universities set up special audiovisual departments, often because the library didn't want to deal with this new, and decidedly inferior, type of "book." But, at many community colleges, administrators saw the duplication of effort and added cost that separate AV and library departments created and, usually with the encouragement of the college librarian, combined services creating a single department of learning resource services.

Kenneth and Loren Allen point out in their book, Organization and Administration of the Learning Resources Center in the Community College, the LRS combination was a result of three assumptions: first, that no one format for communication is the most appropriate for everyone, second, that as materials and services become more accessible, the potential for use and consequent learning increases, and third, that without the control a single department offers, equipment and software can be spread about to the point of reducing accessibility to students and faculty.[3]

The name Learning Resource Services (and its permutations such as Instructional Resources and Learning Resource Centers) allowed for a broader view of service than "Library," a word moribund with an image of dusty stacks and jealously guarded books. The LRS was bright and sunny like color movies. It broadened the librarian's role as well. We became known as educational resource specialists with a new commitment to support the teaching/learning process.

By and large, the move from libraries to Learning Resource Services was a healthy change. Librarians became involved in classroom instruction as never before and, as a result, became more valuable to the faculty and students of the college. Our self-image adjusted to being a more interactive, vital one. Our philosophy of service became more proactive. No longer did we wait for faculty and students to seek out our help. Rather, we assertively stepped into the educational mainstream and proved that using the LRS was an essential aspect of offering a complete educational experience.

Community college libraries achieved the excellence to which they aspired with the formation of the LRS. Now, however, the very success of the concept threatens that achievement. The success with which libraries were able to incorporate audiovisual services, and the concomitant alteration of their philosophical base to become Learning Resource Services led to a substantial increase in the number of programs organized under the LRS. Programs which "just couldn't fit" into other administrative units of the college fell under the domain of the LRS. Its philosophy of "anything to support instruction" accommodated activities as diverse as duplication centers and bookstores. As a result, the library has become just another member of a mix of ancillary support programs which colleges conveniently group into Learning Resource Services.

Of course, media services including program acquisition, equipment selection and circulation, media development, and production is an integral part of the library. The two areas are closely related and the integration of services should be maintained. Perhaps the word "Library" should be redefined to include media services. In any case, the proliferation of other services under LRS is the problem I address today.

To determine their current status and make-up, I surveyed 23 large community college LRS programs. (Larger colleges were selected on the assumption that fully developed LRS programs would be present.) The findings show an incredible scope to LRS services.

A random sample of 40 LRS programs was selected for survey. In the 23 colleges that responded, average FTE enrollment was 8,372; FTE faculty was 259. All 23 programs retain library services and 20 include audiovisual circulation and support services. However, additional programs administered under the Learning Resource Services of these 23 colleges totaled 104. That's an average of over four and a half programs per college beyond library and audiovisual services. Some programs such as media production and instructional television (ITV) are closely related to audiovisual services, but other programs range from duplication centers to developmental studies lab to testing centers. One college LRS administers the disabled students program; another has responsibility for the college mailroom.

Such proliferation of programs must lead to a loss of focus in the LRS and decreased ability for the library to retain its position as the preeminent instructional support service. The LRS becomes the "visible" program at a college -- and the library is overlooked.

The increase in LRS programs is not entirely the result of college administrators seeking economy, sometimes at the expense of quality. The directors or deans of learning resource services must also share the responsibility. Librarians who gravitate toward administration by and large do so because we like the extra responsibility, power, and influence that leading a program brings--not to mention the money and "perqs". We have, dare it be said, a few empire-building bones in our bodies. Thus extra services added to the LRS are often welcomed since the increased size of the program also increases our importance in a college.

And there's the rub. For in a director's quest for larger and more comprehensive learning resource services, the library gets lost in the shuffle. Elizabeth Matthews, in her article "Trends Affecting Community College Library Administrators," concluded that the director of the LRS must

> adjust to a new philosophy, a new role, from that of a keeper of materials to a dispenser of curriculum materials, to analyst and designer of instructional systems with a concern for planning a learning environment. The role of the director has assumed broader dimensions than heretofore in expanded libraries with new names, viewed now as omni-media centers.[4]

It's not that LRS directors have better things to do -- just more, and perhaps too much, to do. Having transcended our "meager" beginnings as librarians (20 of 23 respondents held the MLS degree) and become administrators, we supervise CBI labs, print shops, ITV studios, and self-paced instruction programs. Time must be spent solving problems, dealing with personnel, and working on committees that have little, if any, relationship to the library program. The survey results indicate that LRS directors spend an average of only 37 percent of their time administering the library; and 63 percent of their time is left to administer the remaining services. Five directors estimate that they spend 15 percent or less of their time dealing with library concerns and two other directors estimate 25 percent or less.

As LRS directors increase their administrative sphere of influence, they must become knowledgeable about the new departments they administer. We become generalists with only enough information to administer a department. The time and effort it takes to remain current and informed about changing developments in each area of responsibility, from ITV to computer-based-instruction, decreases our ability to thoroughly understand any program and its needs, including the library program.

The result is a stale philosophy of service regardless of an administrator's stated commitment to the value of the library program and, worse, the library's loses status and influence. To an extent, libraries will run themselves as their day-to-day procedures are well-established and grounded in years of experience. But what they lose and vitally need is the creative energy and broad philosophical direction which only an administrator with *time* for commitment can offer.

Thus, libraries, once the cornerstone of the LRS, become just another block in the foundation. Budgets reflect this: The "Quantitative Standards for Two-Year Learning Resources Programs" state that "a fully developed Learning Resource Program will usually require from seven to 12 percent of the educational and general budget of the institution." Although no reference figure is offered for library services alone, Raymond Carpenter's 1981 analysis of community college library services, in comparison to the "Standards," shows dramatically the inadequacy of library staff, collections, and budgets. Indeed, he concludes that "most libraries are below standard for nearly all factors" and that only "10 percent of public [community college] libraries receive seven percent or more of their institutions' budget." In the 23 colleges I surveyed, an average of approximately 2.6 percent of the college budget goes to the library program. Significantly, six colleges would not even *estimate* the amount of library support available. Only four colleges publish their library's budget percentage in college budget documents, while 11 publish the LRS budget percentage. Furthermore, over 25 percent (six colleges) do not maintain separate and unique budget figures for library services, rather they are lumped into the LRS mix.

In its book *College and University Business Administration*, the National Association of College and University Business Officers (NACUBO) recommends that libraries, educational media services, academic computing, and ancillary support programs all be budgeted separately, although listed under the broader category of academic support. Colleges that do not follow this procedure very likely view support of the LRS as being the same thing as support of its library. Thus any lack of attention to the budget needs of these libraries is partially the result of the larger visibility and consequent presumed importance of the LRS program. Requests for larger library appropriations may be doomed because combined LRS budget figures make the library program seem healthier than it may actually be. Colleges, cognizant of the need to support instruction but seeking areas to limit budget growth, may pick the LRS because its total budget looks large. This hinders growth of library, as well as, other service areas. As library programs became just another apple in the barrel of services -- a good apple perhaps, but one of many--the creative energy needed to develop and maintain an exemplary instructional support service is missing. Budgets reflect this lack of emphasis.

To mitigate the effect which an expanded LRS program may have on library services, I offer several suggestions: 1) LRS directors must recognize these problems and reexamine personal and institutional goals. A recommitment to the value of "library" service may be needed. We should seriously question the creative energy we can give to more than a few programs and seek ways to narrow our scope of responsibility to a manageable number of areas. All programs suffer when a director has too many areas of responsibility regardless of leadership ability. We should seek quality in our support services, perhaps at the expense of quantity of programs. We will lose no status or influence if our commitment to instructional support remains high. 2) Colleges should consider a partial divestiture of LRS services. Establishment of an Educational

Services Department with its own Director or Dean to handle testing centers, duplication centers, developmental studies labs, self-study programs, CBI labs, and perhaps ITV is one possibility. Obviously, the director would need broad-based educational experience--but not a MLS. Another possibility is to organize all instructional support programs together, such as the library and media services, but organize programs that actually offer instruction, such as ITV and CBI, separately. Peripherally related programs such as duplication and testing centers could be administered by other departments of the college. 3) The library should be returned to the budget as an identifiable entity and be recognized again by the college as an integral part of the instructional program.

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PARAPROFESSIONALS, STUDENT ASSISTANTS, AND THE REFERENCE CLAN: AN APPLICATION OF CONTEMPORARY MANAGEMENT THEORY

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Abstract. As more nonlibrarians are scheduled at reference desks, it is important for all reference staff members to work together as a group, asking for help and referring questions whenever necessary. Rigid assignment of questions by type emphasizes a false efficiency and obscures the goal of excellent service to the library user. The concept of the clan, as developed in Ouchi's Theory Z, is proposed as an ideal model for a reference department.

Keywords and Phrases. Reference service; Management theory; Paraprofessionals; Student assistants; Ouchi, William G., Theory Z.

In today's academic libraries, it is no longer uncommon for reference desks to be staffed by paraprofessionals and student assistants, either working with librarians or alone. In 1975, it was reported that 69% of medium sized academic libraries had nonlibrarians working at their reference desks. (1) In 1981, when the topic was discussed by representatives of large academic reference departments at ALA, someone asked what libraries do not use paraprofessionals at their reference desks. Only one hand was raised. (2)

There are many reasons for this trend away from the all-professional staffing librarians officially consider ideal, (3) but there is little doubt that the most compelling reason is the increase in professional responsibilities assumed by most reference departments in recent years, (4) typically unaccompanied by any increase in professional staff. Although we are using nonlibrarians in increasing numbers to help answer questions at the reference desk, we have as yet evolved no philosophy of service which fully acknowledges their presence in this role, nor have we, in the literature, discussed methodologies for maintaining our standards of accuracy in these circumstances.

Instead, we are creating a myth, based on outmoded principles of scientific management, which says the questions can simply be divided between librarians and assistants according to level of difficulty, thereby increasing our efficiency, while allowing us to remain responsive to client needs.

What I hope to do here is to point out some flaws in this myth, and to suggest how some new theories of management might provide a better solution to the problems inherent in these new circumstances, eventually perhaps leading to an improved form of reference service. The new theories I will describe are those analysed in Theory Z, the best selling book by distinguished UCLA management professor William G. Ouchi about successful American firms whose management styles resemble those of Japanese companies. (5)

Most reference librarians would agree that the percentage of questions asked at reference desks which could easily be answered by a trained nonlibrarian is high, and several studies at individual libraries have confirmed this. (6) In categorizing questions according to degree of difficulty, three different levels have typically been discussed: directional or simple information questions, factual reference questions, and bibliographic research questions. It is always assumed that the first level is the easiest and can be handled by nonlibrarians; and in fact it has been common practice for many years to allow student aides to answer such questions, either at the reference desk during quiet hours or at information desks of various kinds.

On the next level are factual questions of varying degrees of difficulty: the kind which require a specific answer, most often from a directory, almanac, or encyclopedia. The ability of nonlibrarians to answer questions at this level was meticulously tested in 1967 when Charles Bunge asked a set of factual reference questions of pairs of reference staff members, one a librarian, one not, in nine medium sized public libraries. (7) Although the librarians were able to answer the questions more efficiently, as measured by the number of questions they answered correctly in a given time, there was no significant difference in accuracy between the librarians and the nonlibrarians. The nonlibrarians answered Bunge's fact-type reference questions more or less as well as the librarians did, although it took them longer. Significantly, the most successful nonlibrarians were those who had, at some point in their careers, worked together at the same desk with a trained librarian. Bunge concluded that "at the level of the factual questions represented ... the fear of a significant difference in accuracy between trained and untrained reference staff finds little support from this study." (8)

Unfortunately, a study comparing librarians and paraprofessionals has yet to be done on questions at the third level, which is presumably the one on which academic reference librarians should be spending most of their time: the kind of question which usually begins, "I have to do a paper on ..." Presumably, the number of variables would be so great as to make a statistical study impractical. There is an assumption that these questions, at least, should be reserved for librarians. However, some libraries have successfully used student assistants to help other students in the use of at least some elementary research tools. (9)

If paraprofessionals can do so well at the reference desk, what are we worried about? We have two worries: first, that they will not recognize the symptoms of the common situation in which the real question is concealed behind a general or directional inquiry; and secondly, that they will not refer the question to someone else, or ask for help, when they need to.

These concerns were shown to be all too accurate in a study conducted by Halldorsen and Murfin in 1977, (10) in which investigators asked reference questions based on faulty information or couched in misleadingly general terms at two university libraries. In one of these libraries, the reference center was staffed by nonlibrarians who were supposed to refer questions they couldn't answer to subject specialists. The librarians in this study conducted more skillful interviews and were far more successful than the nonlibrarians at uncovering and answering the real question (although still not as successful as one would have wished.) The most distressing finding in the study was that out of twenty-one questions the nonprofessionals failed to answer, only six were referred to the subject specialists; and of these, only two were referred successfully, because in the other cases the subject specialist was not available at the time. The authors note that it was not only the paraprofessionals who were reluctant to ask for help; the librarians did not confer together as much as one would have expected either.

There are two problematic aspects of reference work by nonlibrarians on which we might choose to focus our attention: one is dividing the questions according to the ability of the staff; the other is getting everyone to refer questions clearly not within their competence, and to ask for help whenever there is the slightest doubt as to whether a question has been adequately answered. So far, our professional attention has been focused on the first problem, and hardly anyone has addressed the second.

It is not particularly difficult to categorize reference questions as to their degree of difficulty and decide which category of staff should answer them; what is very difficult is figuring out how to arrange matters so that each client gets the best possible answer or advice. For that we must concentrate not on the questions, but on the people who answer them. To provide excellent service we must have the best possible staff, interested in their jobs and constantly challenged to learn more. That should be our first concern.

Our arrangements for placing and scheduling nonlibrarians are a good indication of how we have chosen to make use of their assistance. Most often, they work alone. It has long been a practice in many libraries to have students work late at night or on week-end mornings, when business is light. Another arrangement is the separate information desk where clients are supposed to go for answers to non-reference questions. Most recently, we are finding assistants stationed at reference desks answering reference questions while librarians remain in the background, to be summoned if needed. But at the busiest times, when the reference desk is staffed with two or more people, those people are likely to be all librarians.

Assistants are typically instructed to answer only certain categories of questions and to refer the others to the reference librarians. It has not occurred to most reference departments to treat their assistants as apprentices, working with the librarians and learning as they work. The informal arrangements in many small departmental libraries, where assistants often learn gradually about resources until they are very skillful at assisting users, have not been thought suitable for reference departments with larger numbers of staff. Nor has it been reported in the literature that any reference department has adopted the practice advocated from time to time (11) of having librarians screen all questions, referring to assistants those they consider appropriate for them to answer.

Instead, we have used ideas of efficiency unconsciously based on classical organization theory or principles of scientific management. These principles, traditionally used in corporate bureaucracies and factories, have come to permeate our society to the extent that they now seem natural and inevitable to most of us. Each person is assigned to a job, made up of specific tasks, the simpler the better. Training is of course directed to those tasks only, and this specialization is assumed to make everyone more efficient.

These ideas have been largely discredited by contemporary management theory (12) and they are particularly unsuitable in any case for reference departments, where the work is characterized by the unexpected and unpredictable and the "production line" consists of people!

If student aides or other workers are strictly prohibited from answering any but the simplest directional questions, we should not be surprised to find that they become somewhat resentful as they gain more experience in the department and can hardly help absorbing information that would permit them to answer more questions than their instructions allow. By defining their job so rigidly, we have eliminated most of its interest. Also, if the students have little or no opportunity to work closely with the people who actually are answering the reference questions, they may well underestimate the resources that can be found to help a client, as well as the time and care that are devoted to questions. They have no way of knowing what it is they don't know.

Helping our clients to the very best of our ability often requires calling on the skills and expertise of more than one person. Everyone, therefore, from the newest student assistant to the most experienced librarian, should be urged to ask for help from other staff members or to refer questions. Of course we *tell* people to do this, but if at the same time we make it inconvenient or damaging to self esteem, our most emphatic instructions will not be effective. If the most highly approved behavior in actual fact is handling questions alone without disturbing our busy colleagues, then nobody will be eager to turn to others for assistance. We must find ways to reward our staff for being *less* "efficient" and self-sufficient, thereby rendering better service to students and faculty.

In *Theory Z*, Ouchi describes how some American companies use management techniques similar to those which have made Japanese industries so highly productive and virtually error-free. Ouchi says the ideal theory Z organization would be like an imaginary basketball team with perfect, unspoken coordination. It would have no visible structure and no organization chart. (13) He calls this kind of organization a clan. (14)

In Ouchi's kind of clan, there is intentional ambiguity as to who in the group is responsible for any given task or activity; the clan is responsible. Everything important is a result of team work. People work together in an atmosphere of trust and commitment. Rigidly defined separate duties for supervisors and workers, with the feelings of inferiority and superiority they produce, are kept to a minimum. Above all, the clan tries to bring out the best in people by setting expectations high and by showing them in all possible ways that they are important to the success of the whole group.

Of great importance to these type Z companies is a written philosophy and set of goals which is well publicized within the organization and frequently referred to in meetings and whenever decisions are being made.

What would a reference department clan look like? Not so different from the way we look at our best moments already (all good reference departments have much in common with basketball teams.) Using the new management principles just mentioned, and building on our own best instincts, these are some of the characteristics we could expect:

The emphasis would shift from the efficient performance of assigned duties to finding the best answer to every question regardless of who must be interrupted in order to do so. Everyone who wanted to would have the opportunity to learn more about library research. Bibliographic instruction would not be limited to students but offered also to library workers. It would be made available to everyone working at a reference service desk and to people at other service points also if they wished to participate. The more everyone who works in a library knows about bibliographic research, the better for library users.

Everyone would work with other staff members, rather than independently, to the greatest extent possible. Assistants who work alone should also be scheduled regularly with librarians at the reference desk. Isolated work stations encourage outpost psychology; pride in self-sufficiency and reluctance to ask for help are symptomatic. The best way to learn is by participating and by watching how others handle situations. There should be formal training sessions as well, but training without practice is sterile.

Within the group, competition would be out of the question. The ability of the group to provide accurate and superior service is what counts. Experienced librarians would lead the way, not in flashy quick answers but in exposing where they need help. Those who quail at shameless exposure of their ignorance have no business working in a library!

There would be frequent meetings in which all reference staff would participate. If scheduling problems precluded everyone's gathering at one time, the group could be split. However, meetings would regularly include both student aides and full time staff; they should not consist merely of a

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supervisor training assistants. In meetings, the group spirit can be fostered; it is not a waste of time for librarians to be present and to listen to the concerns and the contributions of the student aides.

A philosophy of reference service would be developed, with contributions toward it from everyone working with clients. Of course it is more important that everyone can personally observe that each question is taken seriously, that the greatest care is taken to be absolutely accurate, that every effort is made to locate whatever information is needed, than it is to see those principles in a written document; but the written document shows that these activities are a matter of policy, and it reinforces everyday practice.

A related group of principles which has been widely discussed in the management literature, quality of work life, has recently also been used to restructure library departments and make work more enriching. (15) Quality control circles, with their emphasis on group responsibility for product quality, are now widely used in industry. There is widespread recognition that higher productivity and excellent results depend on teamwork and on bringing out the best qualities of the worker.

This is a time of changing personnel policy in academic libraries. A larger role for paraprofessionals is one such change; others are the increased importance of research and publishing for librarians, and the broader responsibilities they are assuming in some institutions due to major changes brought about by computerization and cooperative networks. The impact of these changes on reference departments has been minimal so far, but we would be wise to strengthen our commitment to excellence in reference service, insisting that whatever changes take place in the future must have as their goal improved service to the library user.

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Self-Study of Main Library Public Services of a Large Decentralized University Library
- Plans and Changes -

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Abstract. A self-study was conducted of the Main Library Public Services at The Ohio State University Libraries. During the four month study period input was solicited in a variety of ways from library employees, academic faculty, and student users. A philosophical statement was developed and thirteen broad categories of issues developed. The result was a report with 159 recommendations covering everything from administrative organization to space utilization. The Report is being used as a planning tool. Some of the recommendations require outside approval though the majority need only internal decisions. Given the University political situation, the budget conditions, a building that cannot be modified greatly, and a possible tax repeal facing the state and University the Libraries must make optimum use of resources in order to maintain and improve services.

Keywords and Phrases. Organization Self-Study. Public services. Academic libraries.

INTRODUCTION

In February of 1983, the Director of Libraries at The Ohio State University Libraries appointed the Task Force on the Organization of Main Library Public Services. The Task Force was "to examine the present organizational structure, functions and staffing of all public service operations in the Main Library and to recommend any realignments which would provide a more effective and efficient administrative architecture, as well as afford the best configuration for delivery of services to users."[1] There are at Ohio State a Main Library building and twenty-four libraries outside the Main building. Within the main building are special collections, five department libraries, international reading rooms, traditional departments such as reference and circulation, and some special services in addition to Technical Services and Administration. Long hours of opening (110 hrs/week) and a desire to provide as much and as good service as possible characterize the attitude of the Libraries' administration and employees. The Main Library serves basically the research and study needs of twenty-six departments primarily in the humanities with some social sciences included. (These are departments without a separate, outside department library.)

ORGANIZATION AND PROCEDURES

The establishment of the Task Force was not a new experience for the Libraries for there had been a task force to study technical services in 1981-82. For a chairperson, the Director chose a part-time library faculty member and increased her appointment to full-time with the increase devoted to the Task Force (that person being the author of this paper). The Chairperson of the technical services task force was also a member, providing important background and liaison work. Other members were the Director of the Health Sciences Library, a reference librarian, a support staff from Circulation, an International Studies bibliographer, a computer-based reference service librarian and the Periodicals/Microform librarian. None of the department heads in public services were included and the position of Assistant Director for Public Services was vacant at the time.

The group was given four months, March-June of 1983, in which to complete its work. It was able to complete the work in the allotted time, though the report was not typed and submitted until July 7, 1983. How did it do this and what does the report now mean for the future plans and direction of services in the Main Library Public Services at The Ohio State University Libraries?

Other than knowing and being able to use techniques for planning and coordinating such activities (these being learned while in the Association for Research Libraries, Office of Management Studies Consultant Program) the most important factor for the chairperson was having a specific time allotment which did not for the most part infringe on her regular position. By devoting at least twenty (20) hours a week to the effort, she was able to keep the work flowing, to complete support activities, and to get drafts of instruments and reports prepared. Having the specified time assignment was a necessity and would have been vital had she been a full-time employee. Another necessity was having a large office in which to work, meet, write and massage data. The Task Force in establishing guidelines for itself, set aside two time periods a week for meetings or other work. With that, it engaged in some team building activities and began the task at hand.

The Task Force first had to define what it was to examine and upon what basis such examination should take place - A Philosophical Framework and Issues Statement[2] was prepared which in essence said the Main Library should be a research facility fo using on the needs of advanced students, researchers and faculty along with providing such centralized services as interlibrary loan and interdisciplinary reference sources. Thirteen broad issues were identified and developed by means of interrogative sentences. The document was published in the Libraries News Notes, sent to the University's Faculty Library Council, and to the department chairpersons.

Several methods were used in order to get input from the interested parties. Library employees were encouraged throughout this project to provide written comments to the Task Force. A series of brown bag lunches were held to discuss the thirteen issues. These were well-attended by library faculty and staff and a free exchange of ideas and feelings occurred. The Library Council (a University faculty committee) devoted an entire meeting to discussing the philosophical statement and the issues. Representatives of the twenty-six departments were invited to meetings to discuss the Main Library public services and the Statement. All of these sessions provided valuable information and insight to the Task Force.

The most intensive information gathering activity was the individual interview phase. All library employees were given the opportunity to request an interview. Additionally, certain individuals were identified who would be asked for an interview if they did not request one, in order to insure that valuable knowledge and experience was not missed. In a two-week period, sixty-one interviews were conducted by four teams of two people each following the same guide. (Figure 1) We used the guide to summarize the information gained from each interview.

Information from users was seen as very important. A one-page questionnaire was devised and distributed within Main Library, with mail-option books from Main Library (users can have books mailed to campus addresses), and with computer searches from the Mechanized Information Center. On a more scientific basis, the OSU Behavioral Sciences Laboratory conducted a telephone poll of a sample of graduate students and faculty (124 and 76 respectively) in the affected departments. The Behavioral Sciences Laboratory has conducted polls on a quarterly basis for the University and the polls have a high level of validity. Of course, numerous internal documents and reports and published articles were collected, studied and cited. The work and report of the previous Task Force was a most valuable resource.

As can be imagined, by June 1 the Task Force literally had stacks of information. Each member was responsible for reading interview summaries, correspondence, questionnaire results, documents and articles on his/her own. The first two weeks of June were set aside for intensive deliberation. It was agreed that the chairperson would take all notes and prepare all drafts thereby freeing the others from any distractions. With so much information, it was necessary to have a plan for organizing it in an outline.

The first item discussed was the Philosophical Framework and then the thirteen issues. These (Figure 2) were rearranged so that a natural progression from broad to narrow items followed. In column one the issues are listed in the order in which they initially were presented. In column 2 they are ordered as we discussed and presented them in the Report. By beginning the findings and recommendations with Organizational Structure and Leadership and with Space Use the rest of the issues were for the most part either determined or at least strongly influenced. Each question raised in the Issues Statement was addressed by the group. A findings statement and specific recommendations were developed. The group deliberately did not assign any time frames to the recommendations. The necessity for wider discussion, especially in those instances involving outside departments, precluded the setting of a time frame for implementation. It was felt that only after discussion and a decision to implement was made could a time dimension be added. Within two weeks, three drafts of the final report were completed and it was ready for final editing and printing.

Distribution of the Report was extensive. The Task Force, Director, Assistant Director, ARL-OMS and ERIC received complete copies (26 pages of text and 52 pages of appendices) with two complete copies being placed on closed reserve. All library faculty and Administrative & Professional staff received a copy of the shorter report (26 pages of text and the appendices showing the floor plans and organizational charts). Each library staff member in Main Library Public Services also received this shorter version. The Provost, Library Council, Department Chairpersons and Library Liaisons received copies also. As can be seen there was no effort to suppress or limit the distribution.

The Report was distributed in mid-July, a traditionally slow time on campus. As a result, the initial reaction was mild, both within and without the Libraries, and there was sufficient time for people to calmly read and consider the document before any discussions took place.

RECOMMENDATIONS

What did the report show? First, there are 159 recommendations. Of these, twenty-nine (29) or about 18% need some type of outside discussion and decision. The rest (130 or 82%) are recommendations which can be implemented internally given that funding is available. The Director did comment that the Report was more than he expected, hoped for, or wanted - but that it was very good!

Some of the major recommendations were:

- To stress the research nature of the Main Library.
- To change reporting lines so that three instead of six existed. (Figures 3 and 4) The overhead shows how the public services are currently organized and what is recommended with reporting lines highlighted.
- To maintain the position of Assistant Director of Libraries, Public Services, to create a position for Collections Officer and a joint position for Head of Main Research Library Public Services/Information Services.
- To staff each public service desk every hour of opening.
- To decrease service points from thirty three (33) to eighteen (18). (Figure 5) Much of this is to be done by consolidating services as in the case of the languages.
- To improve use of space. (Figures 6 and 7) These show the First Floor as it currently is organized and as it is recommended that it be configured. The heavy lines follow a patron into the Library until a first contact with a continuously staffed service point is made.

As can be imagined little was left out of these recommendations. They covered everything from attitude of employees and users to creation of quiet and non-quiet zones for users and employees!

ACTIONS

Many changes have occurred and will because of the Report. Within the Main Library three service points have been eliminated and improvements have been made in others. The two major changes were the elimination of the Browsing Room (a collection of standard literature and current popular material) and the removal of the public Vending Room. Both actions required the approval of the Library Council, the University faculty committee responsible for approving such policies for the Libraries. Both of these actions have certainly improved the atmosphere of the Main Library. A collection development statement for the Reference Department has been drawn up. The loss of position due to budget cut-backs and some retirements has necessitated the modification of the proposal by the Task Force. The resultant administrative structure will include three Assistant Directors: Main Library Public Services, Department and Undergraduate Libraries, and Technical Services. Of the 159 recommendations made, forty-nine had been acted upon by February 1, 1984, leaving many more to be discussed and disposed of one way or another.

PLANS

The statewide tax repeal question was defeated in the November, 1983 election and as a result the University has been able to proceed with capital improvement planning. High on the list of improvements is a library storage facility that would house over two million volumes. Only by removing several hundred thousand volumes from the main stacks will we be able to optimize the use of the Main Library building. The Library Council is discussing such items as consolidation of service desks, provision of a central Periodicals and Reserve Room, and the creation of considerably more individual study space. A number of the recommendations were concerned with daily operational matters and these are being discussed and decided upon as they arise.

The result of both task forces has been to optimize the utilization of all resources in the Libraries. Faced with past and current budget cuts and knowing the near impossibility of recovering from such cuts, every effort must still be made to provide users with the materials and services necessary in an excellent academic institution. The Report of the Task Force on Main Library Public Services has provided a firm plan on which to accomplish that mission.

ACKNOWLEDGEMENTS

The members of the Task Force on the Organization of Main Library Public Services must be recognized for their orginial work and for their continued interest in the the results of our efforts. I want to thank Dena Naumoff, Larry Perk, and Janet Shuff for their work on typing the manuscript, preparing floor plans, and making overheads. A very special thanks is given to Dr. William J. Studer, Director of Libraries, for his confidence in me, the Task Force, the process, and the results.

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FIGURE 1

OSUL TASK FORCE ON ORGANIZATION OF MAIN LIBRARY PUBLIC SERVICES

INTERVIEW FORM
INTERVIEWEE________________________ DEPT________________________
HOW LONG IN SYSTEM____________ IN WHAT DEPT________________________
DATE____________ TIME____________ INTERVIEWERS________________

1. What do you think about the leadership of ML Public Services?
2. What do you think about the organizational structure of ML PS?
3. How do you see your area fitting into this structure?
4. If you could change one thing, what would it be?
5. What works well in ML PS?
6. In area of service--any changes, improvements, eliminations, combinations?
7. Philosophical framework--agreement, disagreement, workable?
8. Other--

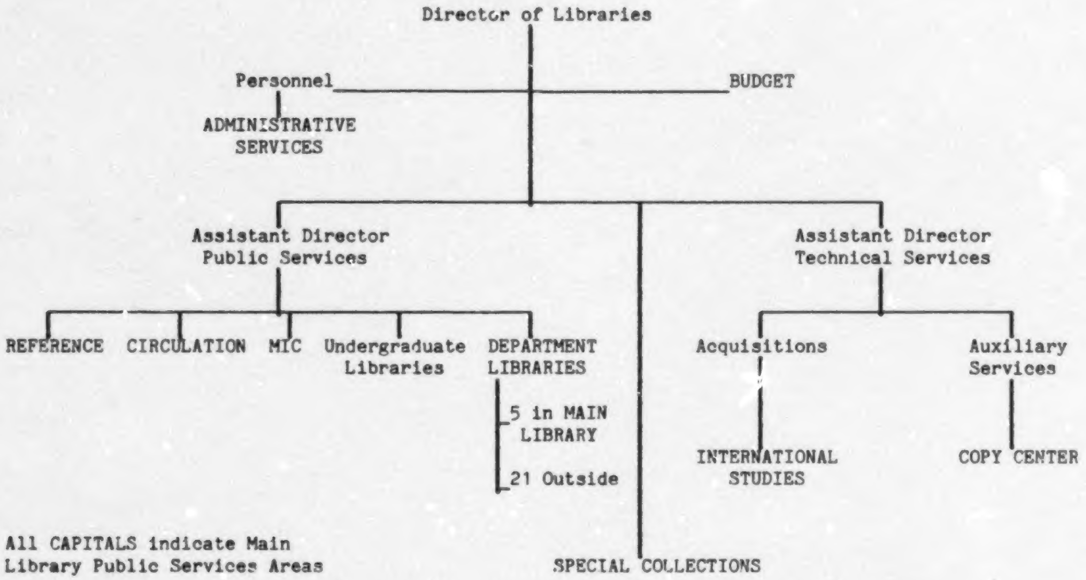
FIGURE 2

ISSUES

As Given in the Statements	As Discussed and Reported
1. Organizational Structure and Leadership	1. Organizational Structure and Leadership
2. Collection Development	2. Space Use
3. Reference	3. Staff
4. LCS/Card Catalog	4. Building
5. Space Use	5. Communication
6. Staff	6. LCS/Card Catalog
7. Circulation	7. Collection Development
8. Communication	8. User Education
9. Newspapers/Periodicals	9. Reference
10. Microforms/AV	10. Circulation
11. User Education	11. Newspapers/Periodicals
12. Building	12. Microforms/AV
13. Support Activities	13. Support Activities

FIGURE 3

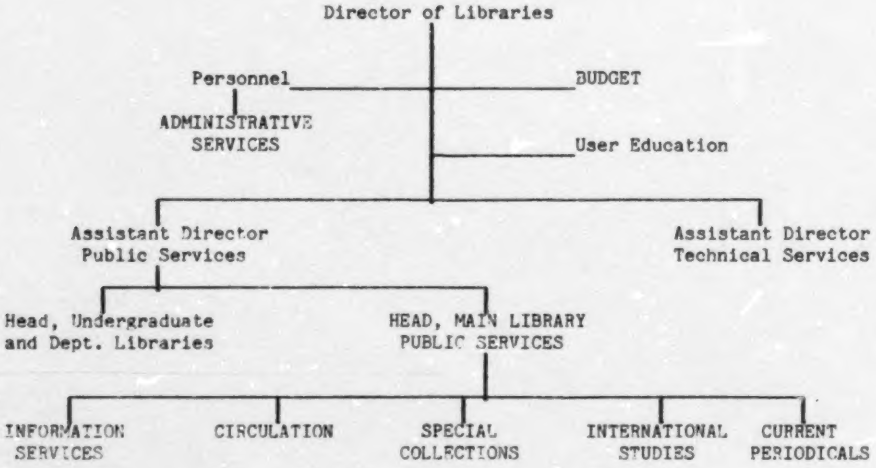
ORGANIZATION CHART BEFORE THE STUDY -
LIBRARY ADMINISTRATION AND MAIN LIBRARY PUBLIC SERVICES


Director of Libraries
Personnel
BUDGET
ADMINISTRATIVE SERVICES
Assistant Director Public Services
Assistant Director Technical Services
REFERENCE
CIRCULATION
MIC
Undergraduate Libraries
DEPARTMENT LIBRARIES
5 in MAIN LIBRARY
21 Outside
Acquisitions
Auxiliary Services
INTERNATIONAL STUDIES
COPY CENTER
SPECIAL COLLECTIONS

All CAPITALS indicate Main
Library Public Services Areas

FIGURE 4

PROPOSED ORGANIZATION CHART -
LIBRARY ADMINISTRATION AND MAIN LIBRARY PUBLIC SERVICES


Director of Libraries
Personnel
BUDGET
ADMINISTRATIVE SERVICES
User Education
Assistant Director Public Services
Assistant Director Technical Services
Head, Undergraduate and Dept. Libraries
HEAD, MAIN LIBRARY PUBLIC SERVICES
INFORMATION SERVICES
CIRCULATION
SPECIAL COLLECTIONS
INTERNATIONAL STUDIES
CURRENT PERIODICALS

All CAPITALS indicate Main
Library Public Services Areas

FIGURE 5

MAIN LIBRARY SERVICE POINTS

Present Service Points

1. Browsing Room
2. Mechanized Information Center
3. Catalog Information Desk
4. Circulation
5. Reference
6. Library Disability Services
7. Interlibrary Loan
8. Special Materials
9. Current Periodicals
10. Carrels, Courtesy Cards, Lockers Clerk
11. Sanction List Clerk
12. Telephone Center
13. Business Office
14. Administrative Services Division
15. Copy Center
16. Public Card Catalog
17. LCS Terminal Bank
18. Documents
19. Black Studies
20. Map Room
21. History/Political Science/Philosophy
22. English/Theatre/Communications
23. Women's Studies
24. Research Consultant
25. User Education
26. East Asian Studies
27. East European & Slavic Studies
28. Hilandar Room
29. Latin American Studies
30. Classics, German, Linguistics & Romance Languages
31. Special Collections
32. Judaica Studies
33. Middle East/Islamic Studies

Recommended Service Points

1. Study Room
2. Information Services
3. Circulation
4. Library Disability Services
5. Carrels, Courtesy Cards, Lockers
6. Sanction List Clerk
7. Telephone Center
8. Business Office
9. Administrative Services
10. Public Card Catalog
11. LCS Terminal Bank
12. Periodicals/Reserve
13. Map Room
14. 2nd Floor Desk
15. 3rd Floor Desk
16. Hilandar Room
17. Special Collections
18. User Education

FIGURE 6

CURRENT FIRST FLOOR PLAN

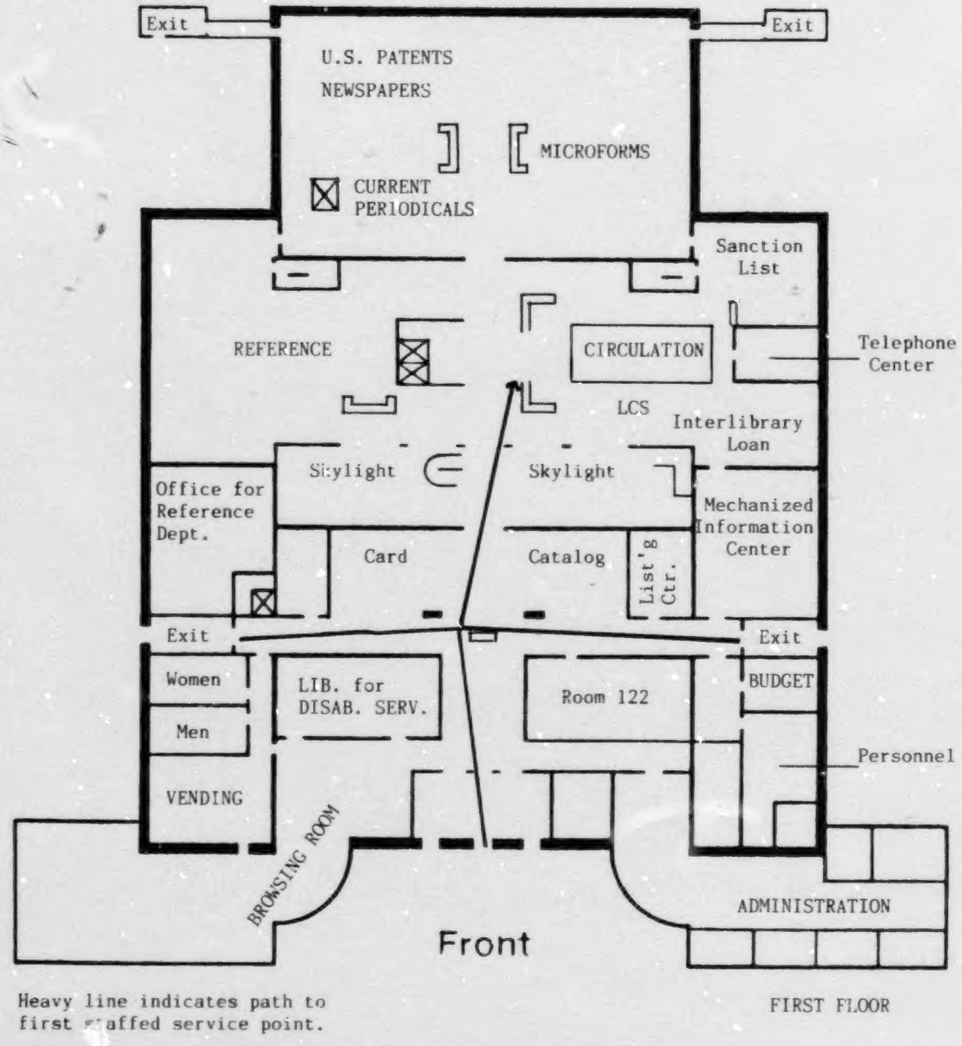
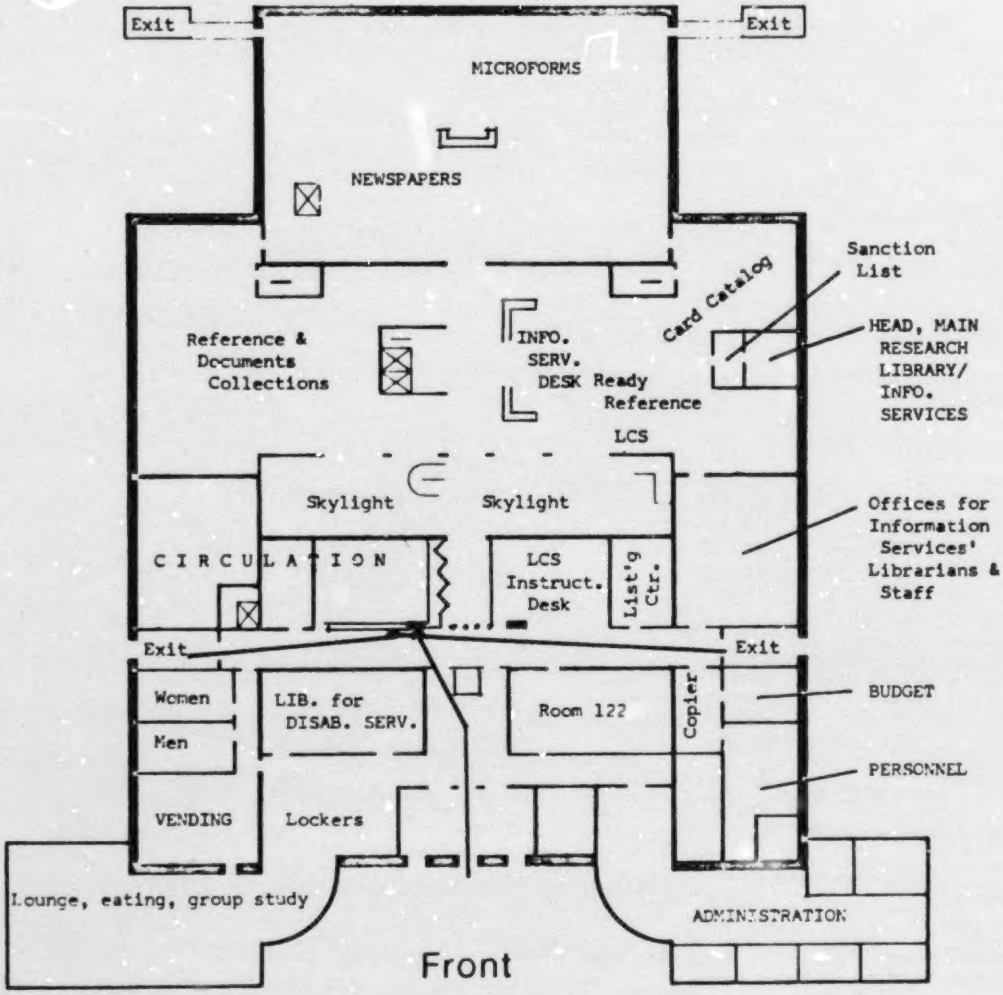

Exit
Exit
U.S. PATENTS
NEWSPAPERS
MICROFORMS
CURRENT PERIODICALS
Sanction List
REFERENCE
CIRCULATION
Telephone Center
LCS
Interlibrary Loan
Skylight
Skylight
Office for Reference Dept.
Mechanized Information Center
Card
Catalog
List'g Ctr.
Exit
Exit
Women
Men
LIB. for DISAB. SERV.
Room 122
BUDGET
Personnel
VENDING
BROWSING ROOM
ADMINISTRATION
Front
Heavy line indicates path to first staffed service point.
FIRST FLOOR

FIGURE 7

RECOMMENDED FIRST FLOOR PLAN


Exit
Exit
MICROFORMS
NEWSPAPERS
Card Catalog
Sanction List
Reference & Documents Collections
INFO. SERV. DESK
Ready Reference
HEAD, MAIN RESEARCH LIBRARY/ INFO. SERVICES
LCS
Skylight
Skylight
Offices for Information Services' Librarians & Staff
CIRCULATION
LCS Instruct. Desk
List'g Ctr.
Exit
Exit
Women
Men
LIB. for DISAB. SERV.
Room 122
Copier
BUDGET
PERSONNEL
VENDING
Lockers
Lounge, eating, group study
ADMINISTRATION
Front

FIRST FLOOR

Heavy line indicates path to first staffed service point.

ONLINE SEARCHING FOR UNDERGRADUATES

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Abstract. Online database services, once primarily used by scholars in an academic setting, are becoming more accessible to undergraduate students. Undergraduates have found computer searching valuable and express high levels of satisfaction with the results, but cannot afford, or are not willing, to pay the full cost of traditional online searches. Experimentation with a lower cost, user friendly online system has shown that librarians can integrate online searching into existing reference procedures; that the system does not require extensive training of librarians; and that students need the same type of help with an online service as they do with other reference sources. Recommendations for future online services directed toward undergraduates include subject access to more fields, attention to lowered cost and design of software to permit end user operation.

Keywords and Phrases. Reference services, undergraduate. Online database searching.

INTRODUCTION

The provision of low cost computer searches could open a whole new world of research for undergraduate students. Users of online services in academic libraries have traditionally been a select group with sophisticated research needs and the ability to pay associated costs.

Such is the case at the University of Tennessee, Knoxville (UTK) libraries, where online searching of bibliographic databases has been offered to the campus community since 1975. Searches are conducted in the Hoskins Main Library and the Agriculture-Veterinary Medicine Library. Eight vendors provide the UTK library user with access to over 200 individual databases, and in 1982 more than 1200 searches were conducted. All direct costs are recovered by charges to the user.

Online services have been available to undergraduates, but little interest has been shown by students, possibly due to the relatively high cost of searching and to lack of knowledge about the service. Also, students often do not have the time or inclination to make an appointment for a search, nor do they need comprehensive bibliographies. Estimates put undergraduate use at less than 3%. Publicity for the service has been targeted to faculty and graduate students. It is likely that most baccalaureate students graduate from UTK without knowledge of online bibliographic retrieval services.

PREVIOUS WORK

A search of the literature finds few studies on the use of online services by undergraduates. Reports on projects done in 1975 at the University of California, San Diego, where free searches were offered, and the University of Delaware, where searches were partially subsidized, give some insight into undergraduates' need for bibliographic retrieval services, their satisfaction with searches run, and their attitudes toward cost.

Needs

Maina[1] at the University of California, San Diego, reported that many undergraduate students have sophisticated information needs and can profitably use online bibliographic retrieval systems. The author pointed out that undergraduates should not be neglected when online services are publicized. Maina stated that it is incorrect to assume that undergraduates do not need computerized literature searching because their topics of interest are always simple and therefore easily searched in printed indexes. When students were surveyed as to the purpose of their searching, the most common answer (34%) was to aid in the preparation of class assignments. However, several other reasons were also cited, among them to aid in non class-related research projects (21%), to aid in an investigation of personal interest (12%), and to aid in independent study or the preparation of an honors thesis (11%).

Kobelski and Trumbore[2] reported that, when a grant allowed the library at the University of Delaware to offer half-price searches, 43% of the subsidized searches were for undergraduate students. Students reported conducting the searches in relation to coursework, independent study, and thesis research. The advantage cited most often was time saved. The authors noted that the single most important conclusion to be drawn from their data is that online bibliographic retrieval services are an important literature searching tool for students and should be an important part of the college research experience.

BEST COPY AVAILABLE

Satisfaction

The satisfaction level was very high among the undergraduate users responding to the UCSD survey. Some complained about irrelevant references; others needed an explanation of the format of the citations on the printout. Maina indicated that a thorough pre- and post-search interview is very important when serving undergraduates.

At Delaware the user satisfaction level was also high and most students indicated an interest in doing a computer search again. Kobelski and Trumbore also pointed out the need for thorough interviews with the students, since many problems or complaints stemmed from a lack of understanding of online searching.

Cost

While half of the respondents to the UCSD study indicated they were not willing to pay for searches, half did indicate willingness to pay something, dependent on the circumstances. However, when free searches were discontinued, undergraduate use declined 85%. Students at Delaware were paying half the cost of their searches and, though the satisfaction level was high, only a small percentage indicated the willingness or ability to pay the full cost.

Geahigan's[3] survey of attitudes toward online searching by undergraduate management students at Purdue University further substantiates the point that cost is the major barrier. While the majority of the respondents indicated a significant interest in computer searching, most reported they could afford to pay only $5 or less.

ASSESSING THE NEEDS FOR ONLINE SERVICE

Overall the experiences of others have indicated that database searching enhances reference services for undergraduates, and that online services present a valuable means for undergraduate research. During 1982, librarians in the separately housed Undergraduate Library (UGL) began investigating the uses of commercial databases for undergraduate students at the University of Tennessee, Knoxville. How would computer search services complement the print sources which the UGL reference department already provided for students? The New York Times Index, the ERIC indexes and most of the Wilson indexes had long been available, and since 1982 the reference department had also subscribed to Magazine Index, National Newspaper Index and Business Index on microfilm.

A study was designed to determine the kinds and number of Undergraduate Library reference questions that lent themselves to a computer search. The librarian conducting the study chose five high traffic hours per week to record questions asked by the library user. Later, collected questions were searched via DIALOG databases. It was concluded that online database service in the Undergraduate Library would be valuable for answering verification, ready reference, and current news questions.[4]

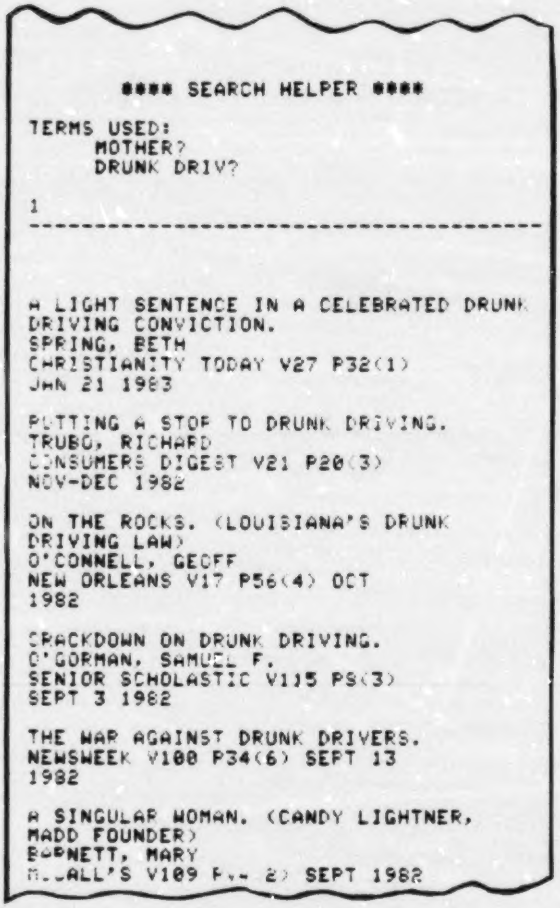
ONLINE SERVICE BEGINS

Given the evidence that online search services could offer an added dimension to undergraduate research, the Undergraduate Library inaugurated an online system in January, 1983. The system, Information Access Company's (IAC) Search Helper, had the capability to produce bibliographies of up to fifteen citations from DIALOG databases through the use of a microcomputer and special software. A major selling point of the service was its low cost. Cost was kept to a minimum because typing subject terms and printing citations was done offline. IAC designed Search Helper with the undergraduate user in mind: bibliographies contained a few recent citations on current topics. Also, the system's user friendly software was intended to be simple enough for end users to conduct their own searches.

The Search Helper system included four components: a Commodore VIC 20 computer, a video monitor, a Bizcomp modem and an Alphacom 40 printer (1200 baud). Prompts given on the monitor screen helped the user enter subject terms and select one of the six databases which could be searched (Magazine Index, Newspaper Index, Legal Resources Index, Trade and Industry Index, Management Contents, and Newsearch). Library of Congress subject headings or natural language terms could be used to access the files.

The user instructed the system to begin; a "now telephoning" message indicated that the modem had gone into action and was dialing into DIALOG. Once the connection was made, the screen message changed to "now searching in [whichever database had been selected]." If the search produced references, a message appeared on the screen, "Congratulations! ___ references have been found. Finding them took the computer only ___ seconds. The most recent 15 will appear on the printer." At this point the printer began and continued until up to fifteen citations were printed (Figure 1.) If the search did not identify references, the screen showed the message, "There were no references found on your subject. Would you like to try another search?"

Search terms entered could be combined, although Boolean operators of "or" or "not" were not possible with the system. One or two terms usually produced the best results. Search terms were, in effect, batched and



```
        **** SEARCH HELPER ****

TERMS USED:
     MOTHER?
     DRUNK DRIV?

1
-----------------------------------------------


A LIGHT SENTENCE IN A CELEBRATED DRUNK
DRIVING CONVICTION.
SPRING, BETH
CHRISTIANITY TODAY V27 P32(1)
JAN 21 1983

PUTTING A STOP TO DRUNK DRIVING.
TRUBO, RICHARD
CONSUMERS DIGEST V21 P20(3)
NOV-DEC 1982

ON THE ROCKS. (LOUISIANA'S DRUNK
DRIVING LAW)
O'CONNELL, GEOFF
NEW ORLEANS V17 P56(4) OCT
1982

CRACKDOWN ON DRUNK DRIVING.
O'GORMAN, SAMUEL F.
SENIOR SCHOLASTIC V115 P8(3)
SEPT 3 1982

THE WAR AGAINST DRUNK DRIVERS.
NEWSWEEK V100 P34(6) SEPT 13
1982

A SINGULAR WOMAN. (CANDY LIGHTNER,
MADD FOUNDER)
BARNETT, MARY
McCALL'S V109 P[illegible] 2) SEPT 1982
```

Figure 1
Sample Search Helper Printout

then queried on DIALOG. Only one search was possible at a time.

The Library subsidized the cost of the system during a six-month trial period so that librarians and students could experiment with this type of online service. Librarians decided to conduct the searches themselves, rather than permit students to operate the equipment on their own. Students learned of the online service as they were assisted at the reference desk. Librarians used the online files to help students find information on recent topics not yet indexed in print sources and to search indexes not available in the Undergraduate Library. Most users required from three to six searches; searches combined variations of subject terms and database choices. Librarians often suggested that students use a database search in conjunction with other indexes. Computer searches became popular as a short cut to finding articles on subjects with more than one concept, such as "nutritional value of fast food" or "microcomputers for the small business." Student interest in the service grew quickly. From January through June, 1983, librarians ran 2441 searches. Records from April through June showed that approximately 64% of attempted searches resulted in citations found.

By late May, 1983, librarians had begun to question the feasibility of having students conduct their own searches on Search Helper. Librarians hypothesized that, given adequate printed instructions and the user friendly software, students could conduct effective searches. Two librarians designed a short study to determine the amount and nature of help users would need to operate Search Helper. Users who asked to have a search done or for whom searches were suggested by librarians were invited to use the computer on their own. Librarians gave users a set of instructions, a worksheet, and showed them a sample search. Once users had completed searches on their own, librarians gave additional help, if needed, and noted the nature of the help on the worksheet.

Sixty worksheets were collected. Forty-two users (70%) needed help. Students needed help most often in selecting appropriate subject terms; librarians frequently noted on the worksheets that they had suggested more general or more specific subject headings to students. Formatting the subject terms on the screen also presented some difficulty for users. The study showed that users generally chose the most appropriate files for searching. Only two of the sixty worksheets indicated that students were seeking information on a subject not covered by IAC databases.

Students' evaluations of the online service were overwhelmingly positive. Forty-eight users indicated that they were satisfied with their search results; nine were not satisfied. All students who had not needed help ran successful searches and were satisfied. Responses to the questionnaire at the bottom of the worksheet indicated that 95% of the users found the printed instructions adequate. All but one user said that they would use the system again and recommend it to a friend. On the issue of cost, forty users (67%) answered "yes," to the question, "Would you be willing to pay $1 per search?"; fifteen (25%) answered "no." User comments on the question of cost reflected some uncertainty on their part as to whether the searches were worth a charge.

WHAT WE LEARNED

By offering a low cost, simple-to-operate online search service, undergraduate librarians wanted to learn more about the role and nature of online services in undergraduate research. Some of our findings confirmed those we had read in the literature, while others gave us new insight into the ways online searching fits into library service for undergraduates. The following discussion describes our observations.

Undergraduate users do have information needs which lend themselves to online searches. The 2441 searches conducted in a six month period point to the usefulness of the search service. The majority of searches were done on the Magazine Index database which offered more cumulative years of indexing than any print source available. Second highest use was on Newsearch which gave access to articles too recent to be covered by other indexing sources.

Students liked computer searching. The computer's efficiency of combining terms and accessing cumulative years of information appealed to undergraduate users. Further, students cited the advantage of time savings in having citations printed out for them.

The cost factor remains an uncertainty. Students who responded to the questionnaire described earlier indicated some willingness to pay a small amount. Of the fifty-nine students who said they would use the system again, only forty said they would have paid one dollar per search. Although the Search Helper system offers somewhat lower prices than other types of database searching, it is feasible that a typical search using combinations of terms and databases could accrue a $10 charge.

Each of the above points, the need for computer services, user satisfaction and cost implications, have been discussed in the library literature. The pattern for UTK undergraduate online services paralleled the experiences of others. In addition, several other characteristics of undergraduate online services were observed in relation to the low-cost simple-to-use system described in this paper.

Librarians integrated the online system into existing reference procedures. The computer terminal was conveniently located at the reference desk, on a carrel adjacent to the ready reference collection. Computer searches were run by librarians scheduled at the desk with no additional desk staff added to offer the online service. Librarians suggested a computer search at the most logical point in the search strategy. For example, if a student asked for general information on a popular topic, the librarian might recommend a check of Readers' Guide or Magazine Index first, followed by a computer search to identify current or missed citations. If the request was for a more specific, multi-concept bibliography, the librarian might choose to begin with an online search, and then refer the user to other indexes for more information. Students did not have to make appointments for searches. Librarians used the computer on a first-come, first-served basis, giving no particular priority for type of question or other contingency. With this integrated approach the librarian used the computer as an additional reference tool, consulting it at the time which best suited the search in progress.

Another characteristic of the UGL online search service was that it did not require extensive training of librarians. Some members of the reference department attended DIALOG workshops and seminars, and two practiced online searching at the Main Library, but generally the group was not familiar with DIALOG protocol. Librarians found Search Helper easy to learn, and built upon their mastery of the system by exploring technicalities of operating the computer. For example, librarians experimented with the most productive order of subject term entry. Entry of a subject as one term or two made a difference in the results. Also, librarians compared searches using thesaurus versus natural language terms.

Perhaps the most important characteristic of the undergraduate online service was that students needed help with this reference source, just as they did with others. The results of the UGL study involving end user operation further confirmed the need for assistance. Librarians have traditionally given extensive advice and instruction in the use of periodical indexes and library catalogs. The online system proved to be no exception. Because computer searching is innovative and exciting, most students were particularly receptive to learning when given the opportunity to use an online database. During the pre-search interview, students discovered the importance of having a well-defined topic in order to choose appropriate subject terms. Selection of the proper databases to search helped students learn about the different types of information available and how it was organized. Finally, librarians taught students how to read the citations on the printout and how to find the materials in the library. As with other reference assistance, librarians found that help given with online searching did have a cumulative effect; repeat users became more sophisticated in suggesting subject terms.

THE FUTURE

The future of online searching for undergraduates looks promising. UTK Library experience affirms the reality that there is an audience for services like IAC's Search Helper. A potentially large market awaits the expansion of user friendly, low-cost database services. More work should be done toward developing software that allows end user operation. Inclusion of more subject fields, such as education and science, into easily-operated systems would help meet the demands of undergraduate research. Since cost still apears to be a limiting factor in undergraduates' use of online services, more attention should be focused on finding the means for lowering costs. Affordable searches could permit large numbers of undergraduates to become regular online users.

The myth that online services should be reserved for scholars and not developed for undergraduates has given way to the reality that undergraduate students have needs which are beginning to be met by online database services. As undergraduates have more opportunities to use online services, librarians will discover more about the nature and role of computerized bibliographic retrieval services in undergraduate education.

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MYTH: REFERENCE LIBRARIANS CAN PERFORM AT THE REFERENCE DESK IMMEDIATELY UPON RECEIPT OF MLS. REALITY: THEY NEED TRAINING LIKE OTHER PROFESSIONALS.

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Abstract. Reference librarians are expected to perform at a professional level at the reference desk upon receiving their MLS degree. This is impractical and unwise since all professionals need some form of orientation or training. Professionalization of academic librarians is discussed. Little training of reference librarians is done at most academic institutions. A survey of reference training programs shows few academic libraries have such programs. The area of business is one where considerable expertise is required for most reference questions. The field of library instruction within librarianship has materials and methods ready to be used for reference training programs. These methods and materials can provide the basics for a training program for reference librarians. The question of professionalization is another matter for academic librarians to consider.

Keywords and Phrases.
Reference librarians
Training programs
Professionalization
Library instruction
Methods and materials
Orientation programs
Instruction librarians

What does it mean to be a professional? The "oldest professions" of medicine, law, and the ministry, do not seem to fit the modern definition of a profession. For today, professions set themselves up by having a distinct body of knowledge, a pride in performance, accepted standards, a maintenance of those standards, and a method of licensing. The original learned professions of medicine, law, and theology are often cited as those occupations which are worthy of emulation. Librarianship has been compared to these learned professions by many writers in the field just as library science has been compared to the disciplines of the sciences, social sciences, and the humanities.

What does it mean for an academic librarian to be a professional? Does one necessarily have to possess advanced training in one of the liberal arts or sciences to be a professional librarian? For academic librarians it is really a *laissez faire* world, since other academic departments do not require any kind of professional accountability before their members practice their profession such as teachers of literature, history, mathematics, geology, or chemistry. The myth is that if one is properly and appropriately certified, one is a professional.

A professional is one who is engaged in a specified occupation for pay or as a means of livelihood; the individual declares a vocation usually requiring advanced training in some liberal art or science, and usually involving mental rather than manual work. There is also a notion that an ethical imperative in giving altruistic service to others is involved. Another hallmark of a profession is the development of a set of ethical standards. The strengths of these standards are the awareness and sensitivity displayed by those practicing with them. Kenneth G. Peterson in his article on "Ethics in Academic Librarianship: The Need for Values," calls for honesty, integrity, and respect for other people by professionals. So, by professionalizing, the level of the particular profession is raised. It is all tied in with standards and ethics.

For some authorities, there is no need to think about professionalism. Bill Katz in his piece "The Uncertain Realities of Reference Service" maintains that all reference librarians are intellectuals who are "peculiarly equipped" to use the new technology and find information for all people. Katz believes that reference service is an art form developed by these intellectuals. For Samuel Rothstein, a reference librarian is made. Making a reference librarian does not depend upon the library schools alone, but includes shaping forces like libraries, library associations, and what he calls "reference workers" to complete the project.

As Rothstein notes, no training was addressed in most reference courses. Indeed it is strange that in a service profession such as librarianship little attention is given for training during an internship period. There are staff orientation programs which may pass for training programs, and these are presented to the new MLS graduate as such. There is little in the professional literature about reference desk training. What little is there is often put with policies and procedures without discussion of formal training methods. Why do we expect anyone who has completed a course of study to be an instant expert and practitioner in that subject? Or why do we think that just because someone has worked as a cataloger for five years that same person can perform well on the reference desk? Training programs are not for just the new librarian, but also for the librarian who has recently transferred to the department, or even an experienced reference librarian coming to a new library.

Orientation programs do exist and are certainly helpful for the reference librarian. But, they do not go far enough. Several types of reference training programs also exist. One of the more popular forms is the apprentice or buddy system where a new librarian will work closely with and under the supervision of an experienced reference librarian. The experienced reference librarian is presumed not to have any bad habits and to be a model. This is often not the case. The experienced reference librarian may not have had good initial training, may be out of touch with current reference services, may not be comfortable with the new technology, and may have bad habits. Since this is one of the few times a new reference librarian may have supervised training, it is crucial that it be of high quality.

Library administrators admit that the training of reference librarians is very important to the library, but they realize it takes staff time and costs them in the end. Special libraries, such as those in scientific companies like General Electric, have patrons who need accurate information and hold librarians accountable for providing that accurate information. Special libraries seem to be the only libraries consistently concerned about high quality staff training for reference librarians. They are willing to invest time and money for good staff training programs.

The English have an array of training programs for all types of librarians, including reference. J. M. Isaacs in his "In-service Training for Reference Work" believes that a six month training program is essential before any librarian serves the public. This British program provides a detailed list of recorded reference questions which are used as the basis for training. Since these questions are real ones, the new reference trainee gets an accurate picture of what happens at a desk in the reference area. The trainee is not required to answer the question, but must cite a source where the answer is to be found. Later the trainee goes over the questions with the experienced librarian, so that a practical sense of sources is realized.

The Canadians favor inservice methods for training librarians. McGill University has a plan for reference that calls for one week of orientation, three months of structured observation at the reference desk, five hours of training in reference methods for answering the most frequent questions, five hours of training with the card catalog, ten hours working in the reference collection, and seven hours reviewing the telephone calls received by the reference staff.

One American library, and a public library at that, is known for its outstanding training program for professional librarians--the Brooklyn Public Library. Reference training at Brooklyn Public places stress on the card catalog as the way to answer most reference questions. The staff training program for professionals is long, well-tested and tried-out, structured, and rooted to practical situations.

Professional reference librarianship in the American schools of library and information science is not treated as it is in training programs in real libraries. For library school faculty stress theory over practice, arguing that practice changes frequently whereas theory does not. What faculty present to students as practical assignments in the reference area often include abstract questions which are not tied to specific instances. Even reference courses are taught differently from graduate school to graduate school.

Even the professional literature or survey literature such as it is, emphasizes theory more than offering useful, practical suggestions. Thomas Galvin in "The Education of the New Reference Librarian" somehow views the new librarian imparting knowledge and information at a high level for status purposes. Galvin is vague as to how this is to be done. Standards are very important for improving the performance of reference librarians, and standards can be upgraded and improved by rigorous training programs.

There is not much helpful professional literature for training reference librarians just as there is little information for training instruction librarians. Lots of literature exists for the library profession on how to set up programs for library users and what curriculum library schools should adopt for instruction librarians. Much of this literature was written by the instruction librarians themselves, for the field developed outside of library schools and was created by practicing instruction librarians, many of them in academic libraries. There is a plethora of literature on library instruction programs, but little has appeared presenting a training program for instruction librarians. Perhaps this is because of another myth--that anyone can teach.

One of the continuing debates that goes

on is whether or not reference service is information or instruction. As Anita Schiller illustrates in her "Reference Service: Instruction or Information?" the very nature of reference service has changed and become more complex. The definitions of reference service have traditionally included both information and instruction, but these terms have meant different things to different reference librarians. Schiller points out that while reference service means giving personal assistance to users in pursuit of information, it may also mean providing guidance and direction in the pursuit of information. At times the terms conflict; information has been associated with giving the user the full amount of information the librarian chooses and instruction has been tied to the notion of showing the user how to find the information and to judge its relevance. Academic libraries are viewed as educational institutions performing a teaching role. But the teaching role for libraries has been one that will inform their users about the types of information and materials the library contains and the types of information and materials other libraries contain and how users can acquire it all.

If this debate causes reference librarians some consternation, it also causes users some confusion. One area which has been difficult for both librarians and users is that of business information. A recent formation of a group of business librarians in Southern California as a forum for common concerns, library service, library cooperation and help with reference questions points this out. Are reference librarians now to become brokers? Are library schools offering courses in the vast array of business subjects that the business schools even have trouble keeping up with? The area of business information is a good example of how a reference librarian must keep abreast of current developments and how training programs are needed. Learning to use general sources for business such as encyclopedias, manuals, directories, investment services, industry surveys, statistical sources, company reports, and 10-K reports is now typical for most general reference librarians whereas in earlier days a specialist would have been consulted for business information.

To determine what would constitute a good training program for reference service librarians, one might look at the many functions they perform such as:

- knowing about reference sources
- finding the proper source for the query
- knowing the library's collections
- knowing about other library services
- communicating well with users
- using technology as available
- instructing users
- sharing professional concerns
- being dependable

These are just a few functions that reference librarians might be required to perform.

Since so many of the functions involve communicating with others and showing or teaching others about services and materials, it is important that reference librarians be competent in these areas. An initial training program for reference librarians might consist of videotaping their performance at the desk with others. Since no one is aware completely of how one looks or sounds, it can be a useful technique to document performance. Just as those academic faculty members find it useful to see themselves and hear themselves in front of a classroom, so do reference librarians find it helpful to see and hear themselves interacting with users in the context of the reference desk. The medium of videotape catches the level and intonation of speech, the body movements, and the facial expressions. At first the process can seem intimidating, but as soon as the cameras, lights, crew, and microphones become familiar the process becomes enjoyable. A warmup exercise can remove any stress; each individual is asked to demonstrate or explain something simply and in a short amount of time--no longer than three minutes. Since all librarians participate the atmosphere is relaxing. After the videotaping has been completed, the librarians view themselves and notice what they see as well as remember how they felt.

With this warmup exercise completed, the next step is to videotape reference librarians at the reference desk performing their various functions. These sessions can be helpful in demonstrating how people interact. Some common problems that usually show up include: establishing no eye contact, speaking too fast, giving too much information at once, pausing infrequently for questions, using too many hand or foot gestures, not involving the other person in the conversation, and not really listening to the other person. When this videotaping is completed it is best to let a little time pass before viewing it. The entire group can watch it together, or it can be done individually. Usually the group offers helpful suggestions for improvement of the reference desk interactions. If this training technique is used several times, real improvement can be measured. For most people do want to improve their performance; but many are unaware of how they come across to others until they see and hear themselves. This technique has been used by instruction librarians teaching other librarians how to teach.

Videotaping reference librarians at the reference desk is only one technique used by instruction librarians and only addresses one function of the performance of reference librarians. But instruction librarians have developed an array of techniques and methods as well as a variety of tools and materials which can be used in a training program for reference librarians. Exercises designed by instruction librarians for users to learn about: reference books and services, the intricacies of the card catalog, the variables with a computer search system, the structure of a discipline and its literature, and the best way to develop a search strategy for a given topic, can all be used effectively in a training program for reference librarians.

Reference librarians in the present and future have the image of the "information scientist," the technologist with control over information. This image is one of the professional. By creating staff training programs for reference librarians which will raise the level of performance of those reference librarians, the entire profession will be raised. By doing this the faculty in the schools of library science will have to keep up with the practices of the profession. Once this happens the "professionalization" of librarianship will occur. The standards and ethics of the profession will become more rigorous and librarianship will have the hallmarks of a profession:

- the mastery of knowledge giving prominence to an intellectual part;
- the development of skills to use the mastery of knowledge;
- the means of ensuring the competence acquired by the mastery of knowledge and the development of skills is put to socially responsible uses.

Reference librarians will continue to act as professionals in their role as intermediaries between users and library systems that develop. Even though most library users will probably be relatively sophisticated and self-reliant with computerized networks and machinery, they will still need the professional librarian to provide them with information on the features and procedures.

As in any profession, training should be a continual process. This is particularly true in a field that is changing as rapidly as library science and in a profession as fluid as librarianship. Individual librarians cannot possibly hope to keep abreast in all areas, but individual librarians can develop expertise and knowledge in specialized activities which they can share with their colleagues. Instruction librarians have developed some specialized activities with their expertise and knowledge which can be used for a training program for reference librarians. For instruction librarians have been using a variety of methods and materials that have prooved effective in teaching and training users to find the information they need. A training program should be part of a larger staff development program. Library instruction methods and materials already do exist and the literature about them is abundant. It makes sense to adapt these methods and materials where it is known they work. Reference librarians are key professionals in libraries; they need to be trained to perform their functions on the highest levels. The library instruction methods and materials offer a solution to training reference librarians.

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THE CIRCULATION OF MICROCOMPUTER SOFTWARE IN ACADEMIC LIBRARIES AND COPYRIGHT IMPLICATIONS

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Abstract. A survey of 293 colleges and universities was made to determine the extent to which academic libraries are procuring and circulating microcomputer software. The survey was also used to determine the availability of microcomputers for library users. Results of the survey reveal a growing trend toward making computer software and hardware available to both students and faculty. A second survey of 68 software producers was taken to determine their view of computer software circulation--particularly as it related to potential "pirating" of their product and other copyright related issues.

Keywords and Phrases
Microcomputers.
Software.
Copyright.
Computers.

It is not unusual for academic libraries to house terminals that are connected to their college's or university's mainframe computer. These terminals are normally maintained by the institution's computer center. Students are assigned account numbers and passwords that allow them to "get on" to the system and proceed with coursework and assignments. However, some computer installations are becoming saturated and colleges and universities are finding it difficult to provide a sufficient number of terminals to meet the increased needs of the academic community. At the University of Utah, for example, Randall L. Frank, who serves as the Director of Research Facilities for the Computer Science Department, is finding that terminals are being used as much as 23 hours per day, seven days a week. Some of their computer work areas are so jammed that students camp out overnight waiting for a terminal.[1]

In an attempt to cope with the fast advancing computer age, a number of schools are acquiring stand-alone microcomputers as a replacement for and/or supplement to the limited number of terminals connected to the campus mainframe. Some universities are even requiring their students to purchase microcomputers. All 900 members of Clarkson College's incoming 1983 freshman class have purchased Zenith Z-100 desk-top computers, and Drexel University has required each of its 1,650 entering freshman to buy a modified version of Apple's newest product, the Lisa Computer.[2] Carnegie-Mellon is entering into an agreement with IBM that will ultimately provide a campus-wide network of 7,500 personal computers.[3] Although it may be rare for a college or university to require that all future students acquire microcomputers, there is an ever-increasing influx of them on a growing number of campuses throughout the nation.

With this proliferation of microcomputers in academia and with the growing pressure to provide students of higher education with some element of "computer literacy," one must question what involvement academic libraries will have in the computer revolution. Should academic libraries provide microcomputer work stations just as many now provide wet carrels for viewing various types of nonprint media? Should academic libraries provide microcomputer software and courseware just as many now provide slides, filmstrips, audio and videotapes? Thus far, the literature has been relatively silent on what role academic libraries are playing in this aspect of the computer revolution. The intent of this paper is to address such issues and explore the level of involvement academic libraries currently have as far as providing microcomputer hardware and software to their users. A tangential issue, that of potential software copyright problems, will also be reviewed.

For purposes of this paper, the reference to software implies "applications software" or those computer programs that are designed for a specific outside purpose such as software for a business application, a game, or an educational program. Whereas "systems software" refers to those programs sitting permanently inside the computer which supervise the running of applications programs and controls the operation of various input and output devices like the CRT and keyboard.

For microcomputers, software is stored on either disk or cassette tape. The so-called "floppy disk" is a flat magnetic disk on which software programs and data may be stored and retrieved quickly--far more quickly than cassette tape. One may question whether or not academic libraries should take an active role in acquiring software programs for purposes of circulation to students and faculty. However, an editorial in College & Research Libraries News warned that "large scale technological changes affecting the quality and quantity of library service will be here sooner than one might expect" and further suggested that "increased public awareness of communications technology will amplify user expectations of libraries. . ."[4] There is little doubt that users will soon begin to expect microcomputer services in the way of software and hardware just as they now expect to find nonprint media of varying sorts.

In a recent paper, Edwin R. Nordine provided a number of persuasive arguments why academic libraries should acquire software for library users including:

1. The Service Factor: The rich tradition of the library/information science discipline has prepared libraries for providing computer related services. Cataloging and classification techniques can provide bibliographic information for software and computer data files that the library has. The same circulation techniques applied to books, periodicals, reserve materials, and audiovisual may be applied to computer software.

2. The Similarity Factor: Computer software is in many respects similar to other library materials. The information is stored in symbolic form. An idea or information is represented in binary form, but is no less real than information encoded alphabetically. Only the way in which it is read is different. Programmed texts and audiovisual data are studied in a manner similar to that of computer-assisted instruction materials. Reference works are often similar to computer data files and at times are derived directly from them.

3. The Role Factor: An abdication of involvement by the academic library may well preclude desired possibilities for service in the future. If libraries are reluctant to acquire and circulate software, then some other campus organization may fill the void which may ultimately erode part of the base for support of library services.[5]

In the spring of 1983, Blackwell/North America announced they would be extending their approval coverage to include microcomputer software. Their April 18, 1983 letter stated in part:

> Hundreds of software packages in many disciplines, the offering of scores of producers, are already on the market. Only recently have a few traditional book publishers entered this field: John Wiley, Random House, Simon Schuster, and Dilithium Press, to name some of them. Blackwell/North America's plans are to start with the current software of such familiar trade publishers as these, gradually widening our scope of coverage more broadly. . . In all other respects, microcomputer software may be viewed by customers in much the same way they do books.[6]

It would appear that academic libraries must give some attention and consideration to the inclusion of software in their collection to determine the extent to which libraries are now incorporating such materials in their acquisitions program. The author took a random survey of some 293 academic institutions. The survey included all levels, i.e., community colleges, colleges and universities. Of the 293 schools surveyed, 211 (72%) returned their questionnaires. The results of the survey are summarized as follows:

-- Thirteen percent (29) of the academic libraries surveyed are now circulating software. Several other institutions indicated plans to do so in the near future. Selected comments made by some of the institutions were illuminating and included:

> "We were pressured by faculty to purchase computer software, but feel it is just another form of information."
>
> "Our library purchases no information resources for which we do not have hardware, i.e., we have no phonodisk players, therefore, we have no disks."
>
> "General application software (word processors, spreadsheets, DBMs, graphics) are 'library use only.' Educational software circulates for one week."
>
> "Computer software is purchased through the media libraries. Subsequently it is cataloged and shelved with media (i.e., nonprint) holdings."

-- Of the 29 libraries that currently circulate computer software, all except two circulate programs compatible with Apple hardware. The two libraries not circulating Apple software made Texas Instruments and Commodore programs available. There is a precipitous drop-off from Apple. Five libraries make IBM PC software available and the same number have TRS 80 software. There is a wide variety of other types of software the libraries circulate but the numbers are sparse. Although not all libraries that circulate software make microcomputers available for patrons, most do and as one would expect, there is a close correlation between software and hardware availability. Thus, of the 27 libraries that circulate Apple software, 23 have Apple microcomputers for patrons. In every other instance, a library that circulated software also had a compatible microcomputer.

-- The types of software programs that were circulated varied. A vast majority circulated computer-assisted-instruction (CAI) type programs including those produced by MECC (Minnesota Educational Computing Consortium) and CONDUIT. Other CAI programs mentioned varied from foreign language, music, and business areas to an IFR Flight Simulator program. Almost all libraries made "VISICALC," "Applewriter," and "Applesoft," available and a few mentioned the ever-popular games. The vast majority of libraries circulate software for a shorter period of time than their standard book loan period.

-- Twenty eight percent (61) of the academic libraries surveyed have microcomputers available for patrons in the library. Three of the 61 levy some charge for usage. The charges are $2.50 per hour, $1 per 20 minutes, and $.50 per hour ($1 per hour for games), respectively. Eleven of the 61 circulate microcomputers outside the library on an over-night or longer basis. The type of micro circulated includes Apple (5), TRS 80 (3), Commodore (2), Atari (1), Kay Pro (1), DEC Rainbow (1), and Timex (1).

The fact that 28 percent of the libraries surveyed are now making microcomputers available for use and 13 percent are circulating software would seem to portend a trend of things to come. Certainly the Association of College and Research Libraries' Standards for College Libraries advocate the inclusion of software by stating:

> The Library's collections shall comprise all corpuses of recorded information owned by the college for educational, inspirational, and recreational purposes, including multidimensional, aural, pictorial, and print materials.[7]

The Standards for University Libraries would also appear to encourage the acquisition of software by including as its first Standard the following:

> In order to support the instructional, research, and public service programs of the university, the services offered by a university library shall promote and facilitate effective use of recorded information in all formats by all of the Library's clientele.[8]

Although the proliferation of microcomputers and accompanying software were by no means as prevalent when the standards were being written as they are today, the concepts of including "all corpuses of recorded information" and "information in all formats" is sound. It is difficult to see how academic libraries can ignore or attempt to delay the inclusion of software in their libraries, particularly when so many are procuring the hardware on which the software may be used.

Some years ago, Sterling McMurrin, the Chairman of the Commission on Instructional Technology, gave sound advice for those who would refrain from recognizing the value of information in something other than print formats as well as for those who may tend to go beyond sound reasoning in procurement of such materials without appropriate planning. He cautioned against:

> . . .two kinds of schoolmen who are likely to short-change their schools in the future; those ultraconservatives who refuse to believe that the new developments in educational technology have something important to bring to the improvement of instruction, and those ultras at the other extreme who plunge too hastily into expensive investments without reliable knowledge of their value...[9]

It should be noted that careful and thoughtful selection of software is imperative. It has been estimated that as many as 15,000 programs are written each day in the United States and that their total value is in the tens of billions of dollars.[10] Although a vast number of these are not available on the commercial market, those that are increase daily.

Some educators have found software commercially designed for educational purposes, as well as that which has been teacher developed, to be rather disappointing. One group writing on the selection of educational software noted:

> Criticisms range from the trivial (programs have bugs that cause them to malfunction under various circumstances), to the very serious (many programs are unusable by students due to unclear instructions and incorrect assumptions about how children learn), to the profound (the majority of educational software consists of drill and practice and tutorial programs that limit the learning of children and endander the future of educational computing).
>
> While these criticisms do not apply to all educational software, there is widespread agreement that the state of the art of educational software development leaves much to be desired.[11]

In purchasing software, it is important to determine the reliability of the vendor and to make sure that the software is compatible with hardware that will be accessible to the library or its users. Many software items are offered

BEST COPY AVAILABLE

in more than one set of configurations, i.e., on disk or cassette; for a specified computer (Apple II, IBM PC, TRS-80, etc.) or operating system; or written in different languages.[12] Some vendors allow for a "previewing" system and Blackwell/North America indicated that "to the extent that software producers will sell through dealers and will allow returns, B/NA will extend the return privilege to libraries."[13]

Copyright Implications

Closely related to the issue of circulating software is the concern of copyright.* Without some kind of protection written into the program, making a copy is exceptionally simple. In those cases where the program is protected by a so-called "copy lock" there is a select group of computer afficionados that especially enjoy the challenge of cracking the protection code and making copies.

Some software producers claim a ratio of ten programs stolen for every one purchased,[15] and further estimate annual software theft to be as much as $2 billion.[16] A spot survey of educational software producers conducted by the editor of *Electronic Learning* identified illicit copying as a major concern. More than one-half of the producers surveyed said the problem is so critical that it cuts into their revenues and may in the near future affect both the quality and price of the software that is produced.[17]

Because of this problem, much attention has been focused on the options one has for protecting software, primarily that of copyright. Although Congress rewrote the copyright statutes in 1976, the status of computer programs under the new law, which took effect January 1, 1978, was not resolved. Congress, therefore, directed the National Commission on New Technological Uses of Copyrighted Works (CONTU) to study the complex technological issues related to the computer field. This ultimately led to the passage of "The Computer Software Copyright Act of 1980," which was signed into law on December 12, 1980. The amended law states the two conditions under which the owner of a computer program may make copies. A copy, or adaptation, may be made if making the copy "is an essential step in the use of the program with the existing hardware. . . for example, the translation of a software package from one computer language to another."[18] The second condition relates to making a copy for archival purposes and even that copy must be destroyed "in the event that continued possession of the computer program should cease to be rightful."[19] For example, at the end of a licensing period, the copy should be destroyed.

Laura N. Gasaway, Director of the Law Library and law professor at the University of Oklahoma, provides a rather careful analysis of the amended copyright law as it applies to computer software and libraries. She notes that programs are considered as literary works and that "duplicating a portion of a purchased copyrighted program for a user would not be an infringement of copyright provided that the other requirements of Sec. 108 are met."[20] She further concludes that:

- -- Duplicating multiple copies for a library's collection would be equated with making multiple copies of novels and normally would be an infringement of copyright.
- -- Duplicating of software in multiple copies for courses in computer programming and the like is an infringement [since] software developers will sell programs in multiple copies, or at least sell the right to duplicate copies in excess of the exemption provided by Sec. 117.
- -- It is not likely that [Sec. 107] would be interpreted to apply to multiple copying of software, even for classroom use.[21]

It must be kept in mind that inappropriate copying by libraries is one matter while inappropriate copying by library users is something else. Section 108 of the new copyright law is precise in identifying the library's responsibilities. According to that section, nothing --

> . . .shall be construed to impose liability for copyright infringement upon a library or archive or its employees for the unsupervised use of reproducing equipment located on its premises; provided that such equipment displays a notice that the making of a copy may be subject to the copyright laws. . .[22]

It may be safely assumed that the library is not responsible or liable for software

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*It should be noted that some controversy exists regarding the best means available for protecting computer software. Some see the copyright mode as relatively weak feeling that it extends only to the particular expression a writing takes and not to the underlying idea. Trade secret is also considered as one means of protection. However, the preemptive provisions of a new copyright law, together with several long-standing court decisions, cast doubt on the strength of the trade secret method. Federal patent laws are available for the protection of inventions but its application for a computer program is controversial. However, the U.S. Supreme Court's ruling in *Diamond v. Diehr* represents the first time the Court has found patentable an invention that incorporated the use of a computer program.[14]

pirating that may occur when one of its programs is "checked out" to a library user. Regardless of this, making software programs available via circulation is a cause for concern among many software producers. In an attempt to become aware of their concerns on such matters, a survey was sent to 68 producers, 44 of whom (64.7%) responded. The results of the survey are summarized as follows:

-- 45.4% (20) software producers stated they are not in favor of libraries circulating software. Reasons given for not wanting their products circulated include:

  "Because there is no effective method to protect software, we would prefer our software to be reviewable but in a closed environment, i.e., a reference room."

  "None of our programs are protected against copying. Circulating copies would end up with many free offspring."

  "Because violation of copyright is rampant."

  "Piracy is endemic and remarkably simple to do. The benefits of wider exposure don't approach the risks."

  "This industry is currently plagued with piracy. This [circulation] would only help lose control of numbers of licensed copies."

-- 38.6% (17) software producers provide free backup copy as part of the purchase price. Several do not since their products are not copy protected. One producer will provide a free backup if purchase price is over $50. Many provide backup copies at a substantial discount which in most cases is more than 75% of the original cost.

-- 40.9% (18) software producers provide for multiple copy licensing. The licenses, or agreements, vary widely. Samples of such agreements include:

  "Multiple copies for 10% to 20% off original cost."

  "Subsequent copies at 50% of origial price."

  "Twenty percent of original selling price."

  "Ten dollars per additional disk."

-- 38.6% (17) software producers provide for on-approval purchase. The length of approval period ranged from 14 to 60 days with the vast majority being at 30 days. Four producers provide a "demo" rather than have on approval agreements.

Although a high percentage of producers (45.4%) indicated reluctance to see software circulated by libraries, it would be difficult to stem the trend that has begun. It is important that college and university libraries share sensitivity to the concerns of software producers, but it is equally important that they don't allow those concerns to prohibit accessibility to this new format. One software producer summarized well the desired attitude by observing:

> I don't have any major solution or answers. It is unfortunate that this problem exists, but each software producer will ultimately have to develop his own method for dealing with the situation with the cooperation of libraries.

Conclusion

As noted in statements already quoted from ACRL standards, college and universities have a mandate to include in their collection "all corpuses of recorded information" and to "promote and facilitate effective use of recorded information in all formats." It is clear that academic libraries will be making a valuable contribution to their users by including computer software as a part of their collections. An observation by Louis Shores is worth noting:

> Long before Marshall McLuhan suggested the decline of the print medium, Georges Duhamel wrote, in In Defense of Letters (1939) that the defenseless book would be supplanted by "less laborious methods of information and recreation." Dissenting from the opinions of both Duhamel and McLuhan, I urged my librarian colleagues in colleges and universities, while I was chairman of the ACRL Audio-Visual Committee, to reject this defense complex and to recognize that all formats are part of the generic book. As such, they should be selected and acquired, as well as processed and disseminated, without condescension.[23]

The recognition of computer software as part of the generic book is important. It presumes, however, careful integration with the curriculum, a wise selection of programs and prudent management of their circulation and use.

A portion of this prudent management must include sensitivity to copyright as it applies to this format of materials. It is important that a balance between user and producer be realized. Librarians need to make computer software programs available. The producers, while not wanting to limit use of their products, show genuine concern toward potential pirating and "unfair use."

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